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Proposed programme budget for the biennium 2010-2011

Report on the enterprise content management and customer relationship management systems and proposal for a unified disaster recovery and business continuity plan

Revised estimates relating to the proposed programme budget for the biennium 2010-2011 under sections 28D, Office of Central Support Services, 29, Office of Information and Communications Technology, and 36, Staff assessment

Report of the Secretary-General

Summary

The present report is submitted in response to the request of the General Assembly in paragraph 26 (e) of section II of its resolution 63/262, to provide an update on the implementation of the enterprise content management (ECM) and the customer relationship management (CRM) systems. The report provides the overall context for the implementation of both ECM and CRM systems and highlights their synergies with each other as well as their relationship to the enterprise resource planning (ERP) project (Umoja). The goals, rationale and benefits of each project are presented together with plans for phased implementation throughout the United Nations Secretariat, including offices away from Headquarters, the regional commissions, peacekeeping and political missions, and other field missions.

The report also responds to the request of the General Assembly in paragraph 13 of section IV of the same resolution, which called for a report on data storage and business continuity services, drawing on the experience of other United Nations entities and global developments in information and communications technology (ICT). It presents a framework for a unified approach to disaster recovery and business continuity for ICT, highlights the principles that will guide the refinement of the strategy for an Organization-wide disaster recovery and business continuity

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plan, and lastly, puts forth an action plan outlining the processes, timelines and resource requirements, for delivery of a comprehensive plan to address the requirements of the Secretariat as a whole.

A summary of the resource requirements for the ECM, CRM and disaster recovery and business continuity proposals are presented in section IV of the report.

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I. Introduction

1. In his report entitled "Investing in information and communications technology: information and communications strategy for the Secretariat" (A/62/793 and Corr.1 and Add.1), the Secretary-General presented his vision of a "strong information and communications technology for a better United Nations". To implement this vision, the Office of Information and Communications Technology was established in January 2009 and has committed to move towards a coherent environment of harmonized development and implementation of information and communications technology (ICT) systems.

2. In a separate report entitled "Information and communications technology: enterprise systems for the United Nations Secretariat worldwide" (A/62/510/Rev.1), the Secretary-General presented proposals for the phased implementation and deployment of a new generation of enterprise systems, including an enterprise-wide system for managing the Organization's information and knowledge (enterprise content management (ECM)) and an enterprise-wide system for managing day-to-day services (customer relationship management (CRM)). Building an ICT architecture that can accommodate enterprise systems such as ECM, CRM and enterprise resource planning (ERP) is crucial because, while different in focus, these enterprise applications must work together to support the mission and programmatic activities of the Secretariat.

3. In General Assembly resolutions 63/262 and 63/269, the need for appropriate disaster recovery and business continuity planning was emphasized. The Secretary-General was also requested to consolidate systems in central data centres in order to strengthen disaster recovery and business continuity and to minimize the size of local primary and secondary data centres.

4. The present report is submitted as a follow-up to earlier reports (A/62/477, A/62/510/Rev.1 and A/62/793 and Corr.1 and Add.1) and in response to General Assembly resolutions 63/262 and 63/269. The report provides an overall context for ECM, as the fundamental technological enabler for a knowledge management programme and a proposal for ongoing CRM initiatives. It realigns earlier proposals on disaster recovery and business continuity and presents an ICT framework and a programme of work for moving forward with a unified approach to disaster recovery and business continuity for Headquarters, offices away from Headquarters, the regional commissions, peacekeeping missions and special missions.

5. The Office of Information and Communications Technology is currently undertaking a structural review of information technology in the Secretariat. This review will investigate the possibility of consolidating ICT units and changes in the structure and staffing levels of the Office. As the review is still under way, the present report has not proposed the establishment of posts while the optimal structure and staff levels are still under consideration. For the biennium 2010-2011, the human resources required for the projects in the report are proposed to be provided through general temporary assistance and contractual services. Any conversion of the general temporary assistance and contractual resources to posts would be proposed for consideration by the General Assembly following the outcome of the structural review.

II. Enterprise systems

A. Enterprise content management: managing the United Nations knowledge base

1. Background

6. A number of the reports of the Secretary-General have highlighted the need for sharing information and knowledge within the Organization. Additionally, the General Assembly, in resolutions adopted during the sixty-third session (resolutions 63/100, 63/248 and 63/262), has requested the Secretary-General and the Secretariat to enhance the technological infrastructure for the management of content; to take full advantage of new developments in information technology to improve, in a cost-effective manner, the expeditious dissemination of information on the United Nations; to ensure the compatibility of technologies used in all duty stations; to explore and report on best practices and lessons learned; and the Assembly has recognized the benefits of the implementation of ECM.

7. In addition to the reports of the Secretary-General, other United Nations bodies have called for an emphasis on the use of knowledge-sharing techniques. A 2006 report of the Office of Internal Oversight Services (OIOS) on the thematic evaluation of knowledge management networks in pursuit of the goals of the Millennium Declaration (E/AC.51/2006/2), called for a knowledge management strategy to be developed for the Secretariat, and asked that a unit focusing on knowledge management be designated (see also E/AC.51/2009/4). A 2007 report of the Joint Inspection Unit entitled, "Knowledge management in the United Nations system" (see A/63/140), included similar recommendations.

8. Effective governance is crucial to supporting new approaches for knowledge-sharing. A Working Group on Knowledge Management was set up in the second quarter of 2008 to take on the work previously undertaken by the Secretariat Task Force on Knowledge Sharing. Under the aegis of the Office of Information and Communications Technology, participants from 14 departments and the secretariat of the United Nations System Chief Executives Board for Coordination work on the development of a knowledge management approach for the Organization. In addition, this Working Group serves as a catalyst to collaboration on the use of enterprise-wide applications such as enterprise content management. The Working Group is chaired by the Knowledge Management Service, created within the Office of Information and Communications Technology to implement the knowledge management programme and to plan and coordinate existing and new efforts to capture and share the Secretariat's most important asset: its knowledge base.

9. The report of the Office of Internal Oversight Services on the triennial review of the implementation of the recommendations made by the Committee for Programme and Coordination at its forty-sixth session on the thematic evaluation of knowledge management networks in the pursuit of the goals of the Millennium Declaration (E/AC.51/2009/4) noted that in December 2008, the General Assembly approved the ICT strategy for the United Nations Secretariat that comprehensively addresses knowledge management issues. In that report, OIOS concluded that the newly established Office of Information and Communications Technology Knowledge Management Service represents "a sufficient formal organizational structure and dedicated unit for knowledge management in the Secretariat", and

considered the recommendation to have been implemented. At its forty-ninth session, the Committee for Programme and Coordination recommended to the General Assembly that it take note with appreciation the work done by the new Working Group on Knowledge Management under the leadership of the Office of Information and Communications Technology.[1]

2. Enterprise content management goals

10. The impact that the United Nations is able to make on the world is critically dependent upon the quality of the information it collects, collates and publishes, as well as the knowledge of its staff. Better communication networks, increased access to information owing to technological infrastructure, and the Internet, have changed the way the United Nations carries out its work. The potential for disseminating consolidated data and knowledge is enormous, but taking advantage of these untapped resources calls for a re-evaluation of the Secretariat's information management work processes. Additionally, it requires change management and innovative approaches to enable United Nations stakeholders to carry out their work effectively.

11. Critical components of the knowledge management programme include: providing the appropriate information technology tools, with ECM as the core system that will support the management of content and information; changing cumbersome processes; eliminating silos and championing collaboration; developing an approach to capture and use lessons learned; and setting up training programmes focusing on knowledge-sharing. To respond to the needs of United Nations stakeholders, new working methods are required to support the development of innovative products and services.

12. By implementing ECM, the knowledge management programme will make more effective use of ICT to improve the ability of the United Nations to analyse, synthesize and present information, making it more accessible and more easily used by its different stakeholders around the world, and ensuring that accurate, trusted, and must-have information supports timely decision-making. The programme will also encourage the development of new knowledge-sharing skills and approaches including the adoption of Organization-wide standards and technology applications that facilitate working together.

13. A substantial investment in organizational development and business process change is needed to ensure that the United Nations captures and uses its information effectively, with the support of information technology and knowledge management applications and policies.

14. The present report focuses on ECM as the enabling component that will support the overall knowledge management programme for the Secretariat.

3. Enterprise content management project

Rationale

15. The Secretariat has spent significant resources in the production, management and distribution of rapidly increasing amounts of documents and other information

[1] See *Official Records of the General Assembly, Sixty-fourth Session, Supplement No. 16* (A/64/16), para. 71.

in various formats. However, many of the processes and systems currently utilized in managing this information are ineffective, inefficient, redundant and vulnerable.

16. The multiplicity of information systems in duty stations across the United Nations Secretariat has led to a patchwork of fragmented, support-intensive, home-grown systems that are not efficient or sustainable. Too often, efforts are duplicated, and departments and offices use different approaches and technologies, with a variety of processes to manage information and content. Maintaining multiple tools has a direct impact on the Organization in terms of support costs that include hardware, software, administration, training and help desk support. Furthermore, this fragmented approach results in information silos and inconsistent policies on information management. As a result, United Nations stakeholders and staff have enormous difficulties in finding the information they need.

17. The following three examples are used to illustrate some of the knowledge management issues facing the United Nations today:

(a) *Websites*. A number of reports and General Assembly resolutions have underlined the issues around management of United Nations websites, including the lack of governance and organizational branding, duplication of efforts, the multiplicity of web-authoring tools, the lack of coordination on domain names, and non-existent mechanisms for content approval and validation. While some offices will spend considerable resources to develop attractive and useful websites, others may assign responsibility for website creation to interns. As a result, the user experience is inconsistent, resulting in a fragmented presentation of the United Nations and its programmes;

(b) *Official Documents System*. Currently the processing and management of official documents is supported by several systems, including eDOC, UNBIS, LotusNotes databases, and the Official Documents System (ODS). Each application has been developed independently, generating duplicate and parallel processes, and resulting in significant inefficiencies. Separate systems have been developed to manage similar processes, at offices away from Headquarters.

(c) *Records management*. Records management capacity across the Organization has, in the past, been inconsistent, weak, and fragmented; a number of business units have no comprehensive records management practices in place. This has led, at times, to vulnerabilities and failures in accountability, transparency, information security, business continuity, and loss of institutional memory. The situation has improved over the past few years at Headquarters through the development and implementation of a framework of archives and record-keeping policies, best practice, standards, and guidance. The progressive implementation of this framework across the Organization will lead to reduced operating costs, improved efficiencies and productivity, and more informed decision-making;

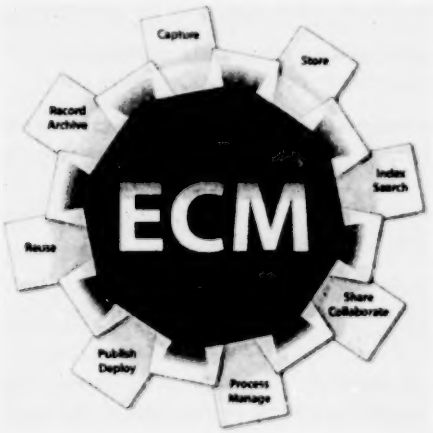
Scope

18. The Knowledge Management Service will plan and coordinate the approach for the deployment of ECM, in cooperation with the departments and offices of the Secretariat, as well as the field. As an enterprise system, ECM will benefit the entire Organization in the management of its information and knowledge, and will be governed by a set of policies. ECM modules will be made available to all duty

stations and field missions to either create and manage their own information or to access information created by other duty stations.

19. Typically, an enterprise content management is comprised of a series of modules, including document management, records management, digital assets management, web content management and collaboration tools. In addition to these core modules, more specific components can be deployed for, inter alia, the management of correspondence, legal cases, and electronic forms. ECM allows an organization to perform a number of activities, as illustrated by figure I below.

Figure I
Functions of an enterprise content management system



20. Enterprise content management will enable the Secretariat to manage more effectively and efficiently its intellectual assets, as well as the ever-increasing amount of content the Organization produces in a variety of media, such as official documents, records, websites, e-mail, photos, images and audio-visual materials. ECM will address the creation, capture, storage, preservation, and delivery of these diverse materials.

21. The ICT strategy for the Secretariat includes many enterprise-wide projects, such as ERP (Umoja), and the CRM project. Because of the need for tight integration between enterprise systems, ECM will be implemented in a manner that integrates with CRM and ERP.

22. Enterprise content management is a multi-year project, the deployment of which will be conducted over a five-year period.

Benefits

23. Implementing ECM in the Secretariat will help to create a more effective Organization whose stakeholders will be better served.

Improved effectiveness

24. **Better and consolidated access to the United Nations body of information and knowledge**. ECM will make information better organized, accessible, and searchable through the implementation of policies, standard taxonomies, common metadata[2] and consistent labels. Consolidation of repositories, including ODS and websites, analysed real-time data, along with collaboration tools — including visualization tools, productivity-monitoring tools, dashboards — will allow for the sharing of collective knowledge and experience, as well as lessons learned. This results in:

(a) *Faster decision-making*, which, according to market research,[3] can yield substantial savings;

(b) *Staff time saved*: according to industry estimates, managers may spend as much as 20 per cent of their time[4] searching for information;

(c) *Increased responsiveness of the Organization* to external events as a result of having consolidated access to information.

25. **Improved management of organizational records**. Together with the existing policies defined by the Archives and Records Management Section, the implementation of the ECM records management module will support the deployment of a Secretariat-wide records management programme based on record keeping best practices. This results in:

(a) *Increased transparency and accountability*. The improved traceability of its records will result in increased transparency in the business of the Organization, and enhance accountability;

(b) *Support to business continuity programme*. With the identification and protection of vital records, a critical component of business continuity planning will be ensured;

(c) *Increased efficiencies*. Expansion of the existing records management programme to all duty stations will increase efficiency as non-essential materials will be disposed of — thus eliminating the need for costly management and storage.

26. **Increased information security**. By establishing clear ownership of content and audit trails of access and reuse of content, ECM will provide security for information assets and enable the Secretariat to ensure secure, remote access to relevant information to all stakeholders, including Member States, permanent missions, and staff. This results in:

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[2] A taxonomy is a particular classification, arranged in a hierarchical structure; it is an information management tool used to organize content and information. Metadata provide information about a certain item's content; for example, a text document's metadata may contain information about the document's length, author, language and date of publication.

[3] A March 2008 report by Cap Gemini United Kingdom entitled "The Information Opportunity" estimates the annual costs associated with making crucial business decisions without the correct information reduces performance by an average of 29 per cent (an annual £21 billion in administrative costs across the public sector).

[4] According to a January 2007 online survey conducted by Accenture in large companies in the United States and the United Kingdom, "Managers spend up to two hours a day searching for information, and more than 50 per cent of the information they obtain has no value to them".

(a) *Protection of confidential information*. Access to information will only be granted following a proper authentication process;

(b) *Information availability when and where needed*. Ensuring secure access to information allows the provision of remote access at any time and place;

(c) *Further supporting business continuity*. Enhanced security provides the ability to access information during crises or when staff is travelling or on mission.

27. **Improved legacy knowledge capture**. ECM will enable the coherent documenting of processes and the capture of best practices and lessons learned so that the work of the Secretariat is streamlined and preserved for future generations. ECM will provide the platform that will leverage work accomplished by some departments and offices in supporting communities of practice and systematically capturing lessons learned, such as the "Best Practices Toolbox". This results in:

(a) *Ensured retention of institutional memory*. Such a repository allows staff to find historical experience, and to have access to properly managed records;

(b) *Reduced duplication of organizational efforts*. Such a repository allows staff to learn from and take advantage of the experience of others.

28. **Improved Internet presence**. Improved organization of content, enhanced and consistent design and the use of the ECM web content management module will allow consistent, real-time updating and harmonization of design to address the problem of website fragmentation and inconsistent organizational branding. This results in:

Improved United Nations image. This will help to promote and advocate for the work and goals of the United Nations.

Increased efficiency

29. **Standardization and simplification of information creation and management**. The ECM implementation will enable standardized and simple information creation across departments, offices and duty stations in the Secretariat. It will enable consolidated, coordinated approaches and streamlined processes for the creation and management of information. This results in:

(a) *Better resource utilization*. This will occur through the consolidation and reduction of technologies supported. Fewer resources in terms of staff and equipment will be required by avoiding duplicative technologies and it will be easier for stakeholders to determine which tools to use;

(b) *Enable re-use of information and elimination of duplicate information*. By supporting content re-use, ECM will allow staff to devote more time to ensuring consistency, accuracy, and timeliness of information, rather than duplicating efforts. Productivity gains in content re-use are supported by industry research.[5] An example of this improvement is the portal for Member States, deleGATE which consolidates iSeek and other relevant content;

[5] "A report from analyst firm IDC states that 70 per cent of enterprise content is recreated rather than reused, making companies spend two times the resources for one set of data." *Industry Week* (1 June 2007).

(c) *Increased accuracy of information*. Changing information in one place will automatically initiate updates in other areas;

(d) *Improved productivity of staff*. The use of a common system across multiple functional groups will increase productivity. As staff move between departments and duty stations, using the same tools will save transition time and staff will have more time for other tasks. To illustrate, if 10,000 staff members save one hour of time a week using ECM, the United Nations would have per year an additional 660,000 hours, or 218 person-years, for other activities or doing essential activities in more depth. This benefit is supported by industry research;[6]

(e) *Reduced storage requirements*. ECM can reduce or avoid costs for many areas associated with paper filing, including the costs for storage space, materials (e.g., paper, folders, cabinets), and labour. In particular, ECM reduces the labour costs associated with the problem of misfiles that are common in paper files. Additionally, both paper and electronic storage of documents will be reduced through the elimination of redundant and obsolete content. This will be achieved by having consolidated and central access to various content repositories, and by ensuring timely disposal of obsolete content by embedding disposal or archiving rules in the process of creating content.

30. The benefits and efficiency gains listed above will be built upon in subsequent years through the introduction of additional initiatives as part of the knowledge management programme, and the deployment of ECM. Such initiatives include portal technology (which will allow for personalized access to information), the management of multimedia assets, further improvements to the main United Nations website (http://www.un.org), and a comprehensive search mechanism for enterprise repositories.

4. Implementation plan

31. The ECM project will be implemented in incremental phases. Following a foundational phase that has defined, inter alia, governance and technical infrastructure requirements, two phases are planned in 2010-2011.

32. A collaborative approach is being taken to determine next steps in the deployment plan. New working models are being considered to ensure that the plan is developed as the result of a participatory process, jointly by the Office of Information and Communications Technology, offices at Headquarters and away from Headquarters, including the field. The approach includes delegating responsibility for the leadership of a particular ECM initiative to a duty station or office that has already developed a specific expertise in that area, such as web content management. Next steps in the ECM deployment will be determined jointly on the basis of priority needs, organizational readiness, and the availability of resources. As an enterprise system, ECM focuses on partnerships to ensure benefits to all staff regardless of their location, their occupational group, or the administrative unit in which they report.

33. Setting up partnerships among departments and offices that share common needs for a particular module to be deployed will also be part of the implementation approach. For example, several departments such as the Departments of General

[6] Gartner research report.

Assembly and Conference Management, Economic and Social Affairs, and Public Information at Headquarters, and also the United Nations Offices at Geneva, Nairobi and Vienna, as well as the regional commissions are stakeholders in the implementation of the document management module. By partnering in the implementation effort, limited resources will be leveraged and common approaches and standard processes will be ensured.

34. The successful achievement of knowledge management objectives is closely linked to a number of key success factors. These include:

(a) Definition of the proper framework for the programme, including policies, procedures, technology and people;

(b) Integration of learning and knowledge capture processes with the technologies that enable knowledge;

(c) Identification of sponsors for ECM initiatives who can act as the liaison with the Office of Information and Communications Technology in developing and implementing its information and knowledge management strategy;

(d) Development of a communications and training strategy to support ECM initiatives, in close coordination with other organizational units, such as the Office of Human Resources Management and the Archives and Records Management Section of the Office of Central Support Services;

(e) Identification of target departments and offices for the start-up phase of the programme and identification of short-term wins to illustrate the potential of the programme.

35. Additionally, implementing ECM requires a redefinition of roles and responsibilities to ensure that specialized staff skills are available. As noted by the Committee for Programme and Coordination at its forty-ninth session,[7] a knowledge management programme is more than the development of new information technology tools. The specialized skills of substantive institutional learning managers, such as Best Practices Officers deployed in peacekeeping operations, and information managers will be necessary to properly identify, document, share and leverage information for increased performance. Similarly, the skills of information managers are needed to ensure that appropriate standards are followed to describe and record content in many different formats. Appropriate skills will also be necessary to handle change management, information architecture, website design, usability testing, taxonomy development, metadata management and corporate information quality both for specialized and cross-organizational content management systems.

36. Finally, the ECM project will only be successful if it is supported by all the stakeholders that it will serve. While it is the responsibility of the Office of Information and Communications Technology to develop and provide the appropriate platform for the management of content within the Secretariat, it will be the responsibility of the content owners to adopt and use this platform in their daily work.

[7] *Official Records of the General Assembly, Sixty-fourth Session, Supplement No. 16* (A/64/16).

5. Update on current project activities (foundational phase)

37. The Office of Information and Communications Technology has been leading efforts to lay the foundation for the implementation of ECM systems. This includes defining the governance framework, the technical architecture, and the basic elements for the management of content, including metadata, taxonomy, and simple workflows. This foundational phase also included initial work on the definition of policies, standards and procedures to oversee and enable the global knowledge management programme.

38. The ECM governance and programme management framework have identified required structures, policies, standards, roles and responsibilities for the coordinated implementation of ECM across Secretariat units. Further, the ECM road map has identified the main Enterprise Content Management priorities across major stakeholders and has proposed a sequence of implementation initiatives based on organizational priorities, business readiness and impact. Through the global deployment architecture, various architectural options to support the global deployment of ECM applications have been considered.

39. The Office of Information and Communications Technology has ensured the participation of major stakeholders including: Archives and Records Management Section of the Office of Central Support Services, the Department of Economic and Social Affairs, the Office for the Coordination of Humanitarian Affairs, the Department of Peacekeeping Operations, the Department of Field Support, the Office of Human Resources Management, the Department of Public Information, including the Dag Hammarskjöld Library, OIOS, the Department for General Assembly and Conference Management, the United Nations Offices at Geneva, Nairobi and Vienna and the regional commissions.

40. Core descriptive elements (metadata) and classification (taxonomy) which the Organization will use for all content types have been defined, with the goal of developing standard information management tools for the description and organization of content.

41. In addition to some strategic initiatives of the knowledge management programme outlined in the report of the Secretary-General (A/62/793) that are already under way, a number of initiatives which constitute a first building block for all future initiatives, such as: (a) a correspondence management system for the Executive Office of the Secretary-General; (b) the production of iSeek news using the web content management module; and (c) the use of a collaboration tool, which allows teams to work collaboratively and share ideas and documents, by several units within the Secretariat.

42. This collaboration tool has also been chosen as the replacement technology for Candiweb — the Member States-dedicated website that supports the work of election officers — as well as for the sharing of information by peace operations military staff, and medical personnel needing to jointly produce documents and share information on the H1N1 pandemic. The communities of practice established by the Department of Field Support in various specialized areas of peacekeeping have also demonstrated their knowledge-sharing potential, along with the Peace Operations Intranet, which provides a central repository for all peacekeeping policies and best practices materials.

6. Planned project activities for 2010-2011

43. A number of ECM initiatives have been identified and prioritized as part of the foundation work undertaken during the current biennium. These initiatives will be built upon incrementally such that achievable building blocks are included in the project plan, minimizing risk and accelerating the realization of benefits. Upon the completion of each initiative, a review and evaluation will allow for leveraging lessons learned and best practices for future initiatives. The next two phases, covering the period 2010-2011, are outlined in figure II below.

Figure II
Project timeline

Project timeline
2009
2010
2011
2012 - 2013
Foundation
Phase I
Phase II
Future Phases
• Management: policies, governance, change management, communication plan
•Collaboration: tool consolidation, institutional memory wiki, correspondence and case management
•Content Management: basic document repository, workflows, records management, ODS migration
•Web Content Management: regional commission websites, iSeek intranet
•Infrastructure: primary hubs
•Management: centres of excellence, partnerships
•Collaboration: correspondence and case management expanded, communities of practice, search, social networking
•Content Management: ODS migration, document publishing, records management expansion, forms management
•Web Content Management: Offices and departmental websites
•Infrastructure: regional hubs and caching

44. Phase I, to be conducted throughout 2010, will focus on those initiatives and activities that would provide value for all Secretariat stakeholders. Phase II, which will be further articulated based on the results and lessons learned in phase I, will be conducted throughout 2011. This phase will increase the knowledge management capabilities and expand them further throughout the Secretariat. Table 1 below presents a summary of all planned activities, during the biennium 2010-2011 irrespective of funding source, and presents the main project tracks and expected results following the implementation of each activity.

45. For increased efficiency and effectiveness of peacekeeping operations, complementary projects for enterprise content management technology, outlined in the report of the Secretary-General (A/63/767 and Corr.1), will be funded from the 2009-2010 support account for peacekeeping operations approved in resolution 63/287. These projects will be implemented to address peacekeeping reporting process automation, replacement of the existing peacekeeping guidance content repository and enhancement of collaboration capabilities throughout field missions.

Table 1
Summary of planned project activities for 2010-2011

	Phase I — 2010	*Phase II — 2011*
Management track $873,700	- Implement policies, procedures and standards under the coordination of the enterprise content management governance -Initiate communication plan as part of change management so that stakeholders can adapt to upcoming business process changes - Develop and initiate an organizational learning programme - Initiate the creation of interdepartmental partnerships with the building and enabling of centres of excellence	- Continue to enable interdepartmental partnerships - Further execute the communication plan
	Results: • *Policies, procedures and standards will have been implemented to guide knowledge management practices* • *The execution of a communication plan as part of the change management process will be completed* • *The system of centres of excellence will have been determined and partnerships established*	
Collaboration track $1,854,400	- Increase the capacity of available technologies for collaboration - Retire duplicated collaboration tools and spread the use of a common collaboration tool eRoom and wiki technology - Collaborative wiki technologies will be introduced to capture the institutional knowledge of how to work at the United Nations, as the complement to the existing intranet, iSeek - Introduce systems to facilitate the management of correspondence and case management - Develop communities of practice	- Extend the deployment of correspondence and case management tools - Improve search and social networking capability of the Organization - Further expand the communities of practice
	Results: • *Collaboration tool supporting knowledge capture (wiki) will be operational throughout the Secretariat* • *Implemented correspondence management tool in the Executive Office of the Secretary-General and several other organizational units* • *Situation reports implemented in field missions* • *Peacekeeping reporting framework and Guidance Content Repository initiatives implemented*[a] • *Case management introduced in OIOS, Department of Peacekeeping Operations/Department of Field Support Conduct and Discipline Units*[a] • *Communities of practice generalized throughout the Secretariat* • *Initial version of federated search introduced* • *Social networking implemented*	

[a] Funded through the Support Account (2009-2010).

Content management track $3,812,700	- Enable Secretariat-wide web-based document storage as a replacement of shared drives, with check-in/check-out, versioning, search and simple workflows for managing content - Deploy the use of a common taxonomy and core metadata in the storage and retrieval so information is more findable across the organization - Enhance institutional records management and archival capabilities - Initiate migration of ODS content to ECM and enable document production and publishing process for official documents	- Finalize the ODS migration - Initiate the expansion of capabilities of content management to departmental publishing - Improve workflow capabilities to include forms management and forms approval processes - Expand records management module deployment
	Results: • *A system for the basic management of content will be available to all departments, offices and field missions* • *Records management module deployed at United Nations Headquarters, field missions, and UN-Habitat*[b] • *Official Documents System migration completed* • *Document management module completed in New York* • *Departmental publishing introduced for the Department of Economic and Social Affairs*[c] • *Electronic forms management implemented*	
Web content management track $2,876,800	-Transform regional commission websites into rich, multimedia knowledge-sharing platforms with a consistent user interface with robust search and content management - Harness experience and knowledge gained in the replacement of the regional commission websites to initiate work on the replacement of the iSeek Intranet	- Develop websites of other offices and department websites for more efficient and effective interaction between various stakeholders through newly designed and branded websites, working with standard templates, effective navigation, appropriate metadata, standardized procedures and fully featured workflows, and multilingual content
	Results: • *New websites developed for the five regional commissions, based on common templates* • *iSeek migration completed* • *Office and departmental website templates developed (United Nations Environment Programme,*[d] *United Nations Office at Nairobi)*	

[b] Funded through the Support Account (2009-2010) and extrabudgetary funding.
[c] To be funded by the Department.
[d] Extrabudgetary funding.

Infrastructure management track $5,130,700	Includes the implementation of ECM global infrastructure and related technologies leveraging technology centres such as the United Nations Logistics Base at Brindisi, Italy, locations for business continuity and duty stations technology centres	Expand the hubs and caching capabilities as required. Needed hardware and software will be administered, upgraded and installed as appropriate
	Results: • *Infrastructure will be in place for Brindisi, including disaster recovery* • *Regional hubs and caching mechanisms will be in place*	

46. Following the deployment of phases I and II, future initiatives will focus upon further implementing the ECM modules, and the knowledge management programme. This includes managing multimedia assets, expanding the benefit of web content management as it relates to the website http://www.un.org — leveraging the work accomplished on the regional commissions and departmental websites. Future phases will also include a comprehensive search mechanism for enterprise repositories, the introduction of portal technology, and of social networking.

7. Funding requirements

47. Implementing, deploying, maintaining and enabling ECM that supports all Secretariat stakeholders is a significant undertaking and resource requirements should not be underestimated. It is expected that the full ECM deployment will take up to five years of project implementation, coordination, change management and training.

48. Enterprise content management will support the whole Secretariat, including Headquarters, offices away from Headquarters, regional commissions and political and peacekeeping missions. Accordingly, the enterprise content management is proposed for funding from the regular budget for the initial implementation across the Secretariat, including offices away from Headquarters and the regional commissions, while the support account would fund implementation at peacekeeping missions. All activities relating to peacekeeping missions (specific projects and roll-out of central solutions) were included under the report of the Secretary-General on the budget for the support account for 2009-2010 (A/63/767 and Corr.1) and hence does not duplicate the request of resources in the present report. The project implementation for the Department of Peacekeeping Operations/Department of Field Support will be conducted in coordination with the work done for ECM in general. If, in the future, departments find that systems that support their functional responsibilities may be improved by further ECM initiatives, the Office of Information and Communications Technology will partner with those departments and work to extend the project to serve the rest of the Secretariat and seek funding, as appropriate.

49. The funding requirements in this report are for the first two years of the implementation plan for United Nations Headquarters, offices away from Headquarters and regional commissions and represents the funding required to implement the core technical infrastructure, many of the key application capabilities and the overall management procedures and guidance to enable a coordinated approach to ECM. The overall estimated cost of the ECM implementation under the

proposed programme budget for the biennium 2010-2011 is $14,548,300 as indicated in table 2 below.

Table 2
Summary of net resource requirements (total project budget at 2008-2009 rates)
(Thousands of United States dollars)

Object of expenditure	*Current estimate*
Other staff costs	3 218.8
Travel	269.5
Contractual services	8 066.4
General operating expenses	1 338.3
Supplies and materials	22.0
Furniture and equipment	1 633.3
Total	**14 548.3**

50. The work related to ECM has been organized into five tracks, as mentioned in table 1 above. The management track ensures that the necessary policies, procedures, standards and oversight are in place and that the ECM work is coordinated by the Working Group on Knowledge Management. The collaboration track covers work related to enabling collaboration capabilities for the Secretariat. The content management track relates to management of official documents, publications and records. The web content management track is related to management of information for websites, including the Intranet. The infrastructure track covering the implementation of the necessary global technical infrastructure to ensure the content managed by ECM is readily available to stakeholders.

51. **Management track**. This track, amounting to $873,700, will address change management and organizational learning for ECM so that stakeholders can adapt to the changes needed for the implementation of ECM in a controlled and effective way. One of the most critical functions will be enabling interdepartmental partnerships with the building of centres of excellence and virtual teams throughout the Secretariat. In addition there will be training for the other tracks, which will be led from the management track. Of the above amount:

(a) $590,400 is proposed for general temporary assistance for 1 P-4 and 1 P-3 for 24 months each. The P-4 would work with the Working Group on Knowledge Management, departments and other governance bodies to develop and implement policies, guidelines, standards and to coordinate all management aspects and align other ECM initiatives. This will also involve developing a coordinated training programme in support of the project. The P-3 is required to perform training and developing training materials for training workshops, train the trainer, online training for distance learning and just-in-time training, self-paced training, user guides and technical documentation;

(b) $7,200 is required for contractual services for service level agreement charges for technology and communication services associated with general temporary assistance positions detailed above;

(c) $118,600 is required for non-post costs such as rent, alterations, furniture and information and communications charges associated with the general temporary assistance positions detailed above, comprising $98,800 under general operating expenses, $2,000 under supplies and materials and $17,800 under furniture and equipment;

(d) Travel in the amount of $157,500 is required for 22 trips for gathering, training and project coordination and management.

52. **Collaboration track.** This track would amount to $1,854,400 for the implementation of a collaboration platform to improve the sharing of information across the Organization, and facilitate the work of cross-functional teams, improve process efficiencies, provide enterprise search capabilities and social networking. It also includes a case management system to be used for the collection, submission, querying, retrieving, monitoring and reporting of information related to cases being investigated by various entities such as OIOS, the Administrative Law Unit of the Office of Human Resources Management and the Office of the Administration of Justice. For correspondence, a system will be implemented to ensure quality and efficiency of correspondence management, with accurate tracking and reporting, while ensuring compliance, integrity and authenticity of information. Of the above amount:

(a) $590,400 is proposed for general temporary assistance for 1 P-4 and 1 P-3 for 24 months each to develop, coordinate, lead and implement the programme related to information-sharing, correspondence management, case management, social networking, search and other collaboration initiatives;

(b) Approximately $1,026,800 would be required in total under contractual services. An amount totalling $1,012,400 would be required for ECM experts to be utilized to conduct requirement gathering workshops, write design documents for the applications, provide programming expertise, conduct system testing, and develop technical documentation. A provision of $14,400 is required for contractual services for service level agreement charges for technology and communication services associated with the general temporary assistance positions detailed above;

(c) A provision of $237,200 is required for the non-post costs such as rent, alterations, furniture and information and communications charges associated with the general temporary assistance positions and the contractors detailed above estimated at $197,600 under general operating expenses, $4,000 under supplies and materials and $35,600 under furniture and equipment.

53. **Content management track.** This track, in the amount of $3,812,700, will enable the development and deployment of multiple initiatives related to content management. A records management system will ensure standardization in the processing of archives and records across the United Nations Secretariat, and will provide capabilities to define retention and disposition schedules, allow for traceability of records, and ensure appropriate security and preservation of critical records. It includes an initiative for the migration of the existing ODS into the ECM platform to ensure a centralized, robust platform, based on a standard taxonomy and metadata model, accessible with the appropriate privileges. Further, a platform would be included for the authoring of parliamentary documents, ensuring that standard preparation processes are followed, streamlined workflows are introduced, and allowing for the tracking of documents. A publishing initiative is also envisaged

that will standardize production methods, codify workflows, integrate collaboration tools, expand opportunities for peer review, streamline clearance procedures, and ensure the availability and integrity of publication assets. Requirements for this track would provide for:

(a) $857,200 under general temporary assistance for 1 P-4 and 2 P-3 for 24 months each to lead the overall coordination and facilitate the business aspects of the content management initiatives, to work closely with the Archives and Records Management Section of the Office of Central Support Services and the business areas to ensure the proper implementation of records management and enable its systematic use within departments and to coordinate with departments on their document authoring needs to ensure the alignment is in place with the ECM platform and coordinating the migration of existing ODS content into a new repository based on ECM technologies;

(b) A total provision of $2,481,100 in contractual service services. An amount totalling $2,452,300 would be required for ECM experts, to be used to conduct requirements gathering workshops, write design documents for the applications, provide programming expertise, conduct system testing, and develop technical documentation. A provision $28,800 is required for contractual services for service level agreement charges for technology and communication services associated with the general temporary assistance positions detailed above;

(c) $474,400 would be required for the non-post costs such as rent, alterations, furniture and information and communications charges associated with the general temporary assistance positions and the contractors detailed above, comprising $395,200 for general operating expenses, $8,000 for supplies and materials and $71,200 for furniture and equipment.

54. **Web content management track.** This track amounts to $2,876,800 and relates to the development and deployment of a platform that will allow for the creation of harmonized web content for the regional commissions and departmental websites. It will codify content workflows, facilitate multilingual content generation, promote integration of content and improve inter-site navigation. Furthermore, it will help to control brand proliferation through the use of standard templates and provide an efficient role-based access control system for content creation and management. It will also provide for the replacement of iSeek with a two-way interactive environment with wiki capabilities for Intranet information. The provision of $2,876,800 relates to:

(a) $857,200 under general temporary assistance for 1 P-4 and 2 P-3 positions for 24 months each to lead, coordinate and facilitate the work on the regional commission website template development and implementation; to gather requirements during that phase of the initiative, and to train and support the users of the system who create websites using the tools and to interface with consultants involved in the requirements gathering and application development;

(b) A total provision of $1,424,500 in contractual services. An amount totalling $1,399,300 would provide for ECM experts to conduct requirement gathering workshops, write design documents for the applications, provide programming expertise, conduct system testing, and develop technical documentation. A provision of $25,200 is required for contractual services for

service level agreement charges for technology and communication services associated with general temporary assistance positions detailed above;

(c) $415,100 for non-post costs such as rent, alterations, furniture and information and communications charges associated with the general temporary assistance positions and the contractors detailed above, comprising $345,800 for general operating expenses, $7,000 for supplies and materials and $62,300 for furniture and equipment;

(d) A further $180,000 under furniture and equipment would also be required to acquire the enterprise-level software to ensure proper evaluation of website performance and allow for appropriate reporting on website usage.

55. **Infrastructure management track.** This track would amount to $5,130,700 and cover the necessary technical server and software infrastructure to make ECM capabilities readily available for all stakeholders. The estimates are based on the current infrastructure capabilities in the Secretariat and will utilize the existing telecommunications and computer operations for all offices of the Secretariat. The primary ECM site will be operated from the United Nations Logistics Base (UNLB) at Brindisi, Italy. With content management applications, the files can be quite large and in order to provide adequate performance for the stakeholders, there is a need for regional hubs and caching mechanisms. There will be additional infrastructure in other locations to support the regional needs of the Organization. The entire technical infrastructure will work in a coordinated and federated environment with local support, overseen by centralized management. This amount comprises the following:

(a) $323,600 for one general temporary assistance position at the P-4 level for 24 months to coordinate the global implementation and administration of the ECM software around the world. This includes the major hubs and caching servers around the world, and working with local staff to properly administer them;

(b) Contractual services totalling $3,126,800 consisting of:

(i) $933,700 for professional services to properly design, configure, install and support the hardware and software components;

(ii) $1,084,000 for network storage services;

(iii) $1,105,500 for maintenance costs of the ECM software licences. Licences for peacekeeping operations are not included as they were budgeted in the 2009-2010 support account budget approved in General Assembly resolution 63/287;

(iv) $3,600 is required for contractual services for service level agreement charges for technology and communication services associated with the general temporary assistance position detailed above;

(c) Travel in the amount of $112,000 is required for the planning, installation and upgrade of the technical environment. This involves four trips each year for two people from the project team to and from Brindisi and offices away from Headquarters and the regional commissions;

(d) A total provision of $1,266,400 under furniture and equipment is required to acquire and maintain the necessary hardware equipment to support the various offices away from Headquarters and regional commissions ($1,257,500) and the

costs associated with the furniture and equipment for the general temporary assistance position detailed above ($8,900);

(e) $300,900 is required for the general operating expenses such as rent, alterations and maintenance of equipment and $1,000 is required for supplies and materials.

B. Customer relationship management: integrating global service delivery

1. Background

56. Customer relationship management consists of the processes and supporting technology a large organization uses to track and organize its customer information. The CRM system is used to support and store the customer interactions which can be accessed by the providers of services as well as the users of services in the organization. A successful CRM effort includes not only software implementation but also improvements in work processes to manage the provision of services.

57. Customer relationship management at the United Nations Secretariat is a key element of the resource management programme, which is one of the three strategic programmes of the ICT strategy report (A/62/793 and Corr.1 and Add.1). The CRM initiative seeks to implement service-delivery and workflow-based applications to improve the handling of the numerous day-to-day services and the effective management of United Nations resources related to service management.

58. The primary objective of CRM is to improve the quality and cost-effectiveness of services provided to end-users, which includes a wide range of customers and constituents, including Member States and other stakeholders as well as the external organizations and the public (see A/62/510/Rev.1). Recognizing the benefits of the implementation of CRM, the General Assembly, in section III of its resolution 63/262, requested the Secretary-General to continue to implement those applications throughout the Secretariat, as appropriate.

59. The present report provides an overview of the current and intended use of CRM in the Secretariat as requested by the General Assembly. It outlines the CRM plans under which the Office of Information and Communications Technology has begun to implement the various improvement efforts. The report further outlines project opportunities across the Secretariat, including initiatives that form the scope of the investment requested for the next biennium.

2. Customer relationship management goals

60. Customer relationship management is an enterprise-wide approach to not only acquire and use knowledge about customers, but also to improve and automate the business processes that deliver value to the Organization's customers.

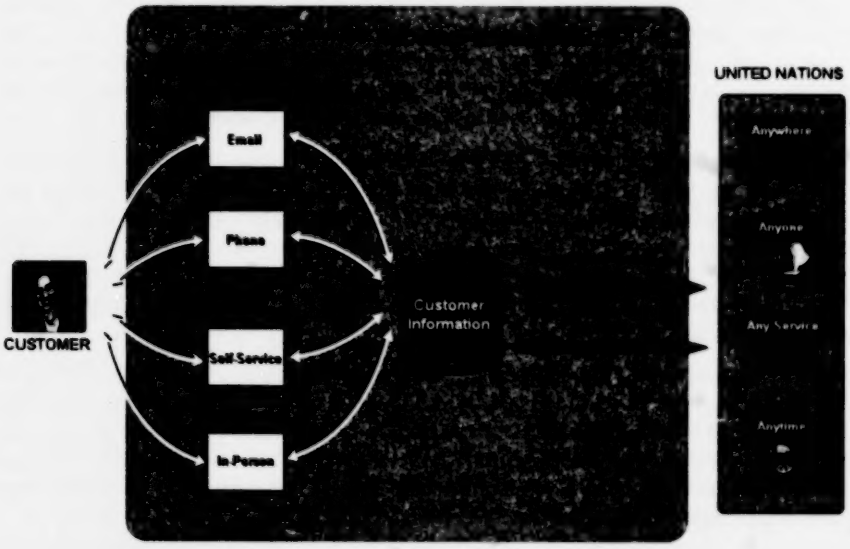
61. The vision of the CRM project is to create an Organization-wide common service management framework that provides improved services with greater efficiency and effectiveness to the end-customers. The goal of the project is to implement this framework by providing an integrated technology platform for managing the service delivery life cycle based on standardized business processes and leveraging industry best practices such as Information Technology

Infrastructure Library (ITIL) and International Organization for Standardization (ISO) standard 20000.

62. Information Technology Infrastructure Library is a set of concepts and policies for managing information technology (IT) infrastructure, development and operations. It is essentially a collection of volumes detailing a number of "disciplines" and processes for IT Service Management. While ITIL offers individual certification, ISO 20000 is an organizational certification. As an internationally recognized standard, ISO 20000 provides ICT good practices for managing and improving ICT. It also provides auditors with a documented standard to use for measuring ICT compliance with ISO standards.

63. The combination of policies, processes, and strategies implemented by the Secretariat will unify its customer interactions across various channels and enable uninterrupted service provision. The future state of accessing any service from anywhere using any channel can be illustrated in figure III below.

Figure III
Global customer interaction with customer relationship management



64. While the ERP (Umoja) system will streamline and automate the core financial, administrative and management operations of the Secretariat, the CRM system will deal with the specific processes connected with providing day-to-day services for end-users. There is no overlap. The selected CRM software is also compatible with the ERP software to be implemented and will integrate with it.

3. Customer relationship management project

Rationale

65. The current practices of various service providers in the Secretariat are described below and are typical of organizations that realize the need for initiating change.

Silo operations

66. Each service delivery group provides independent services for various functions such as ICT support, administrative support for operations in human resources, travel services, payroll, insurance, and also provides diverse services to Member States and agencies. This has led to each business unit or department following their own approach to service delivery and maintaining independent applications and support centres. This lack of an Organization-wide view of service delivery and the presence of multiple providers and purchasers has increased the risk of inefficiencies in the Secretariat and sub-optimal procurement of common services. The disparate service providers, following their own processes and standards, subject customers to different processes and response times for services such as movements, ICT services, insurance, tax, and so on.

67. **Redundant and inconsistent information.** Silos across the Secretariat create different standards for the amount of data needed for a service often requiring similar information by each service. The customer may need to repeat the same information for each new service request with each different service provider. For example, while one service desk may require several pieces of information, another service desk providing the same service in a different office may require only part of that information. This disparity also creates issues when consolidating data about the customer at the enterprise level.

68. **Poor visibility of the service delivery status**. Many departments and offices work with a transactional mindset rather than being customer-centric (focused on customer expectations, needs and satisfaction). Customers do not have a consistent view of how their service request is being handled. Customer-focused service providers should have a history of the customer requests and use this knowledge to fulfil the customer's needs based on this holistic view (i.e., not just on the last interaction).

69. **Lack of communication**. The silo environments and non-standard service processes create obstacles for communication between service providers. In the example of a new staff member joining an organization, a multitude of communications (phone, e-mail, fax and in-person visit) and multiple service requests occur simply owing to the lack of the sharing of common information. Ideally, in a customer-centric environment, on-boarding a new staff member would require one initial event from the customer's perspective that automatically triggers requests to all related service providers of the event.

70. **Inconsistent business processes and customer experience**. Working in organizational and process silos and having different applications to manage day-to-day activities has resulted in complex, multiple-provider environments and different customer experience across channels, thereby resulting in a higher degree of inefficiencies across the Secretariat. Customer experience varies greatly depending on the business unit or department.

71. Without the implementation of consolidated service delivery in CRM, the Secretariat may be exposed to the following risks:

(a) *Higher cost of maintaining silo service desks*. The individual service groups operate with inconsistent processes that result in large gaps in overall user satisfactions as shown by the organization-wide ICT survey. The Organization is burdened by higher costs associated with the maintenance of the different applications and business processes that are used and managed by the separate service group;

(b) *Reduced flexibility for changes across IT and facilities service delivery*. Current silo processes demand that any Organization-wide changes to business organization or structures create a large amount of additional work for each separate group to make the necessary application, data and business process changes. New sets of United Nations standard operating procedures and training would need to be created and communicated to the separate service groups. Repetitive work would need to be done by each individual service group to accommodate their organization's service delivery method;

(c) *No transparent reporting on service delivery and customer satisfaction across IT and facilities provider organizations*. Different metrics and reports are created across service groups in order to evaluate the service delivery standards and customer satisfaction. Functional managers are unable to see easily a complete picture of the service delivery, issues, and cost risks across the service groups for common services. Obtaining an organization view on the delivery levels for a specific service would be very labour intensive in terms of collecting and analysing the data;

(d) *Lack of standard service processes means reduced ability to rotate or replace resources*. The ability to rotate resources, based on needs and emergency situations, is hindered by the training and learning curve that needs to be done for the different service groups. With different processes in place for providing the same service, transferred resources must be retrained on new applications and business processes and rules, which requires additional time and cost;

(e) *Lower customer satisfaction owing to a lack of customer-focused service providers*. The CRM programme drives a service mindset focused on customer information and efficient use of that information. Maintaining existing inefficient processes and technologies will continue the current low levels of user satisfaction;

(f) *Lower productivity from slower provision of services*. Current delivery time will remain and there will not be opportunities to improve the current operations. The proposed CRM improvements in service delivery will have an increased impact on user productivity.

Scope

72. In order to achieve the CRM goal, the plan is to consolidate, over a period of time, service types based on a common solution. The first initiative, branded as "iNeed", seeks to consolidate ICT services and facilities services. The initial deployment of iNeed is limited to the Office of Information and Communications Technology, Department of Field Support, UNLB at Brindisi, the United Nations Interim Force in Lebanon (UNIFIL), the United Nations Mission in Liberia (UNMIL) and the United Nations Stabilization Mission in Haiti (MINUSTAH) for

automating ICT services, and to the Department of Management (Facilities Management Service) for facilities services. This initial deployment by the end of 2009, is proposed to be followed by roll-outs of this baseline product for the offices away from Headquarters over the next two to three years, resulting in the global adoption of ITIL and ISO 20000 standards. Throughout the consolidation process, there will be opportunities to work on automating additional service types. Consolidation of other service types, such as travel services, human resources and conference services will be taken up gradually, depending on the capacity to consolidate as well as the urgency for the replacement of current systems supporting such types of service.

73. The consolidation of every service type will follow a standard but phased approach:

(a) *Standardize business processes*. This will seek to gain the benefits of common enterprise processes regardless of the department or office;

(b) *Consolidate technology platform*. This is critical in order to address data inconsistencies and drive an efficient operating platform to support the customer access channels and business processes;

(c) *Regional consolidation*. This step is to ensure that regional implementations take advantage of time zone and travel opportunities;

(d) *Global consolidation*. This is the final stage to ensure common global processes with standardized events and supported by common technology.

74. Another key constituency for the CRM system is the permanent missions. By leveraging the CRM system's functional capabilities related to relationship and service management, the Secretariat will explore the possibility of building a Member States service management capacity from both the Headquarters and field perspectives. The project's initial focus will be on analysing the interaction of Member States with the Secretariat, recognizing the various points of contact and doing a preliminary analysis to identify the feasible areas for improvement through automation. The intent would be to deliver business value using the service management framework in consultation with Member States, through the Economic and Social Council Working Group on Informatics, which has been advocating such efforts.

Benefits

75. The new service delivery framework of CRM will result in improvements in the day-to-day operations of the service providers throughout the Secretariat. In turn, this will increase the efficiency and satisfaction of the customers, who receive services from the Secretariat.

76. Customer relationship management improves the quality and cost-effectiveness of services provided to end-users. By aligning technology investments with the expected higher standards of service delivery, it will result in the following benefits.

Increased efficiency

77. **Efficient delivery of services**. Implementation of CRM will help to standardize and simplify the business processes across multiple service providers

and locations in the Secretariat. With this standardization of processes and technology, there is an opportunity to develop a unified global service desk standard and services catalogue. This approach can be used to streamline demands from customers, service levels from providers and support visibility of delivery costs across the Secretariat.

78. **Reduced operational costs**. Eliminating ageing service tracking and delivery applications reduces the number of technologies to be supported. Having a common technology platform across multiple service groups also allows easier data exchange between the service providers and reduces the overall service delivery time. In addition, standardizing software on a common platform across the Secretariat lowers the total cost of licence ownership, allows better support across geographic locations and reduces hardware costs relative to having multiple platforms. The process and technology platform of CRM currently being implemented can be reused, and it will expedite, and lower the costs of, subsequent implementations across the Secretariat.

79. **Improved demand management**. Continuous optimization of processes can help to partially absorb expected increases in future demand without a corresponding increase in the current number of agents working in service management.

80. **Increased staff productivity**. The availability of the self-service technology will minimize manual processes and increase staff productivity. It will allow Web access from anywhere and self-directed issue tracking at anytime. As this is the lowest cost-delivery channel, self-service will reduce costs of service delivery for a proportion of demand that is straight-forward and does not need live person support.

81. **Potential cost savings**:

(a) After consolidating 25 service desks into one,[8] a global telecommunications company realized a 30 per cent reduction in mean time to repair, a 60 per cent reduction in unplanned downtime;

(b) A billion-dollar energy supplier cut service desk costs from $89 to $57 per hour;

(c) A leading financial services firm retired 40 service desk tools, reduced case volumes up to 80 per cent, and, in the first six months, reduced the change-to-incident ratio by 10 per cent;

(d) Much like these companies, the United Nations Secretariat will achieve high return on investment in the processes, technology and resources that enable service excellence over a period of time. Expected benefits from the Customer Relationship Management project are estimated at 10 per cent gain in productivity of "service agents" through reduced time taken to process service requests, and an average of 10 minutes saved per incident for both staff and agent by using self-service.

Improved effectiveness

82. **Process improvements**. With the future deployment of a common technology platform, business processes will become standardized and streamlined with the

[8] "Service desk consolidation cuts costs and increases service quality", *BMC Industry Insights*.

implementation of ITIL, an industry best practice. It will also provide the added benefit of business continuity that mitigates risk due to interruptions in service.

83. **Improved service effectiveness**. The common technology platform will provide management with the ability to report and analyse information better across service providers and services provided. This will lead to better decisions being made about services to be offered to different customers and resources needed to provide them. In addition, the self-service portal on the CRM platform will enable service 24 hours a day, seven days a week, and will provide up-to-date information regarding a customer's service requests.

84. **Increased customer satisfaction**. Consistent use of customer data across the Secretariat will increase information quality. The CRM project will help eliminate redundant data maintenance across service providers and ensure that the providers have a single view of the customer. As the process and technology platform are consolidated and standardized, the customer touch points (channels) will also be simplified across service providers. This improved knowledge of customer needs will improve customer-provider relationships.

85. The benefits of providing a common ICT and facilities service management platform will begin to be realized once iNeed is deployed. The return on investment of this type of project will be achieved once the development is completed, and the project is fully stabilized in its maintenance stage (1-2 years after initial deployment). The benefits of the common service management framework will be realized beyond the Department of Management, the Department of Field Support and the Office of Information and Communications Technology once iNeed is implemented for offices away from Headquarters during 2010-2011.

4. Update on current project activities

86. Currently, the main initiative of the CRM project is iNeed, which is an enterprise solution using the Oracle Siebel technology platform. The first phase of the initiative consists of (a) standardizing processes of the ICT service desks of the Office of Information and Communications Technology and the Department of Field Support, UNLB, UNIFIL, UNMIL and MINUSTAH; and (b) consolidating these Service Desks on one common technology platform. The first phase also includes Facilities Service Desk under the Facilities Management Service of the Department of Management.

87. iNeed will replace the existing legacy systems that are used to manage service requests, incident tracking, and inventories of technology and facility assets. It will also automate manual processes that are currently in practice. For example, an e-mail sent to the Service Desk will automatically be converted to a ticket in the new application.

88. During the initial requirement gathering phase, four core service delivery processes (i.e., incident management, problem management, requests for service, and configuration management) were identified as the priority areas for the initial implementation of iNeed. In addition, project management for special events is also included for Facilities Services Desk. Examples of these processes include requesting a new desktop or a conference room for a meeting, reporting an issue with e-mail or a broken light bulb, requesting a departmental move or hosting a seminar during a General Assembly session.

89. Extensive workshops with representation from each of the seven service desks were conducted to gather detailed requirements for the new system. All the business groups agreed to follow harmonized business processes that are ITIL compliant.

90. Following the requirement gathering phase, the functional and technical design of the system was performed, which involved many more working sessions with the business community to agree on proposed solutions. Subsequently, the project team has been configuring the application and developing new reports based on the agreed design. The design of iNeed has been presented to the business groups and their feedback is being used to fine-tune the application prior to it being deployed.

91. The development effort on iNeed is currently going through intensive integration testing, to be followed by user testing and training, with the go-live scheduled for the last quarter of 2009. Following this initial deployment, a self-service portal will be implemented around the second quarter of 2010, for unified customer service for ICT and facility services resulting in productivity gains.

92. The General Assembly approved $4,029,500 in the support account for peacekeeping operations for 2009-2010 for new CRM initiatives, managing troop contributions and the billing of telecommunications services (see A/63/767 and Corr.1). Using the common CRM solution, the service delivery processes of these operations would be automated to ensure that information moves transparently through the Organization effectively and efficiently.

5. Planned project activities for 2010-2011

93. The future phases of iNeed will include the deployment of ICT and facilities service desks at offices away from Headquarters and the remaining ICT service desks at United Nations Headquarters. Its progressive deployment across the offices of the Secretariat will align all duty stations to the same quality standard. This initiative will assist the entire Secretariat to increase the standard of its service management and, as a direct result, the customers will enjoy higher service delivery from the internal service providers.

94. In 2010-11, the plan is to:

(a) Operate, maintain and stabilize iNeed;

(b) Implement self-service;

(c) Deploy iNeed in five duty stations, which are to be determined before the end of 2009;

(d) Begin analysing the next service type to be deployed using iNeed.

95. A successful CRM implementation needs to consider three important variables: people, processes and technology. The key factors to CRM project success are the following:

(a) *Definition of success*. Measurable expected objectives need to be set and results should be evaluated periodically to gauge the progress against the project goals to implement necessary adjustments;

(b) *Top management support*. Since a CRM project is a strategic initiative, top management must actively support it. Management buy-in is essential, and the

support message should be communicated down to the users. If the leaders of the Organization believe in the benefits the strategy can deliver, it will diminish resistance to change;

(c) *User involvement*. Actively involving the users from the beginning of the project will increase the users' acceptance of the new way of working. The sense of ownership generated by their involvement can significantly boost enthusiasm for the solution and its acceptance;

(d) *Phased approach*. A successful CRM project should follow a phased deployment schedule with each phase focused on a specific business objective and designed to produce meaningful results in a reasonable amount of time. Building momentum and enthusiasm will instil confidence that the long-term goal can indeed be reached;

(e) *Ongoing efforts*. Customer Relationship Management is not an event that ends when a technology project is rolled out, but an ongoing, ever-changing business programme that is an integral part of the Organization's customer-centric business strategy. The success of the CRM project should also be continually monitored and measured long after it is initially rolled out.

6. Funding requirements

96. In application development, both institutional knowledge and technological knowledge are required to deliver solutions satisfying the customers' needs. Although the iNeed initiative was initially outsourced to external vendors due to the induction of a new technology, internal resources have taken over the project as of 2009. In order to pursue its successful path, the CRM project would need to continue to build its internal resources, specifically project management, process, technical and infrastructure architects, to manage its governance and deployment.

97. The funding requirement estimates in this report are to continue with the support of the iNeed system in production, development of the self-service portal and deployment of iNeed to five ICT and facility service desks at offices away from Headquarters. The overall estimated cost of the iNeed development, deployment and maintenance is in the amount of $4,433,000 as indicated in table 3 below:

Table 3
Summary of net resource requirements (total project budget at 2008-2009 rates)
(Thousands of United States dollars)

Object of expenditure	*Current estimate*
Other staff costs	1 286.8
Travel	70.0
Contractual services	2 419.2
General operating expenses	440.4
Supplies and materials	10.0
Furniture and equipment	206.6
Total	**4 433.0**

98. An amount totalling $1,286,800 is proposed for general temporary assistance to provide for one P-4, two P-3 and two P-2 positions for 24 months each for management of the application infrastructure design and implementation. This resource will also manage the application configuration as well as the day-to-day maintenance activities, work with the business communities to perform process gap analysis, functional flow design, functional usability documentation, application testing and user communication activities and assist with the technical design and specifications documentation and unit testing of the development application.

99. Travel in the amount of $70,000 is required for facilitating workshops and user training for each deployment in an office away from Headquarters.

100. An amount totalling $2,419,200 is requested for contractual services. An amount of $2,383,200 is required for specialized contractual services for the project. The resources will be used for project management as well as for functional work such as end-user training, data cleansing, import and migration activities as well as the data integration and ongoing assistance to the user community. A further $36,000 is required to cover the service level agreement charges for the proposed general temporary assistance positions and contractors listed above.

101. A provision of $657,000 is required for support costs to cover rent, alterations and communications and supplies for the general temporary assistance positions and consultants listed above. Requirements of $408,000 are required for general operating expenses, $10,000 for supplies and materials and $206,600 for furniture and equipment including the purchase of the necessary new infrastructure. An amount of $32,400 has been included under general operating expenses to maintain this infrastructure but it will not be required until 2011.

III. Disaster recovery and business continuity planning: a unified approach for information and communications technology

A. Background

102. The General Assembly, in section IV of its resolution 63/262, emphasized the need for appropriate information and communications technology security, disaster recovery and business continuity plans. It also requested the Secretary-General to consolidate systems in central data centres in order to strengthen disaster recovery and business continuity and to minimize the size of local primary and secondary data centres. It welcomed the development of a unified approach to disaster recovery and business continuity activities throughout the Secretariat, and requested the Secretary-General to submit a unified disaster recovery and business continuity plan, including a permanent solution for Headquarters.

103. The purpose of the present report is to propose an ICT framework and a set of principles for a programme of work that forms the basis upon which the Secretariat can proceed further with the General Assembly's mandate to develop a unified approach to disaster recovery and business continuity for United Nations Headquarters, offices away from Headquarters, the regional commissions, peacekeeping and political missions, the International Criminal Tribunal for Rwanda and the International Tribunal for the former Yugoslavia.

104. The present report realigns earlier proposals contained in the report of the Secretary-General entitled "Information and communications technology security, disaster recovery and business continuity for the United Nations" (A/62/477), with applicable mandates reflected in General Assembly resolutions 63/262 and 63/269. The two resolutions provide for additional principles that qualify, change, and/or expand the scope of a number of elements of the disaster recovery and business continuity strategy contained in the report. Those additional principles include the following:

(a) Consolidating systems in central data centres to strengthen disaster recovery and business continuity and minimize the size of local primary and secondary data centres;

(b) Prioritizing systems to minimize cost of disaster recovery and business continuity;

(c) Ensuring the use of enterprise data centres rather than local data centres as far as possible;

(d) Fully exploring the possibilities for consolidating and using the most reliable and cost-effective solution for data storage, business continuity services and hosting of enterprise systems;

(e) Undertaking the classification of critical and non-critical systems of the Secretariat and providing to the General Assembly an inventory of systems classified according to their degree of criticality, at the time of its consideration of the proposal for a permanent secondary data centre;

(f) Re-engineering the applications and data to support the long-term goal of managing data recovery and business continuity in system-wide enterprise data centres and where, from a long-term perspective, it is more cost-effective than hosting them in local data centres;

(g) Ensuring that the level of protection proposed has been subject to a thorough cost-benefit analysis.

105. The present report also proposes a high-level strategy and an action plan to conclude the work being carried out by the Secretariat with a view to producing a unified disaster recovery and business continuity plan for ICT, with related resource requirements.

106. In the light of the recent creation of the Business Continuity Management Unit in the Department of Management, the implementation of disaster recovery and business continuity mandates will be undertaken jointly by the Unit and the Office of Information and Communications Technology. In this connection, the focus of the programme of work of the Unit is on business continuity management, which addresses the planning needed to ensure that the Organization can continue its critical functions under all circumstances, while the focus of the information and communications technology disaster recovery programme of work is on disaster recovery, which is concerned with planning for the resumption of ICT infrastructure and services after a disruption that adversely impacts critical business functions. As such, the Secretary-General's report on business continuity management provides the context for the disaster recovery efforts with regard to ICT.

B. Disaster recovery and business continuity goals

107. The focus of this proposal is on establishing broad principles to ensure the continuation of ICT infrastructure and services critical to the Organization in the wake of a natural or human induced disaster. It assumes the need for more detailed study to address in a granular fashion the larger process of planning and crisis response for resumption of applications, data, hardware, communications, and other IT infrastructure after a major incident or crisis. The study proposed will involve a complex process requiring extensive consultations with business units on matters related to the criticality of ICT systems at each duty station in the Secretariat.

108. The goal is to develop a comprehensive ICT disatser recovery strategy to complement the work being undertaken by the Business Continuity Management Unit on business continuity planning for non-IT operations. The scope of this effort is directed towards the planning, implementation, and ongoing maintenance of suitable ICT backup and recovery with respect to the Organization's mission-critical data, systems and services to be defined by the study undertaken in collaboration with the Business Continuity Management Unit.

C. Information and communications technology disaster recovery project

Framework

109. Following consultations with the International Telecommunications Union, the Secretariat proposes to adopt ISO/International Electrotechnical Commission 24762 (Information Technology — Security techniques — Guidelines for information and communications technology disaster recovery services) as the basic framework for the development of a unified disaster recovery and business continuity plan.

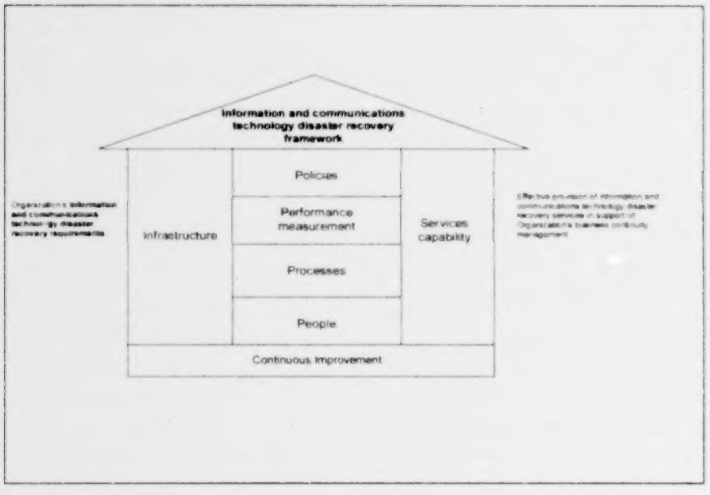
110. The standard provides guidelines for ICT disaster recovery services, which includes both those provided in-house and outsourced. It covers facilities and services capabilities, and provides fallback and recovery support to an organization's ICT systems. It includes the implementation, testing, and execution aspects of disaster recovery. Such fallback arrangements may include arrangements with third parties in the form of reciprocal agreements, or commercial subscription services.

111. The guidelines include the requirements for implementing, operating, monitoring, and maintaining ICT disaster recovery services, divided into two areas: (a) ICT disaster recovery; and (b) ICT disaster recovery facilities.

112. The International Standard is based on a multi-tiered framework comprising different elements in the information and communications technology disaster recovery services provision, as illustrated in figure IV. The "foundation" layer comprises the important aspects of information and communications technology disaster recovery services, namely policies, performance measurement, processes and people. This layer helps to define the supporting infrastructure and services capability.

113. The "continuous improvement" layer highlights practices that help to improve ICT disaster recovery activities in specific areas, and represents an added level of provision to the services provided. Thus the guidelines in this international standard are drawn from a composite view of these layers, and with a balance between cost-effectiveness and standard rigor considerations.

Figure IV
Framework for provision of information and communications technology disaster recovery services



114. "Policies" enable the setting of direction on other related areas of ICT disaster recovery services, and also enable clear communication to relevant parties on the requirements that can be met by an ICT disaster recovery plan.

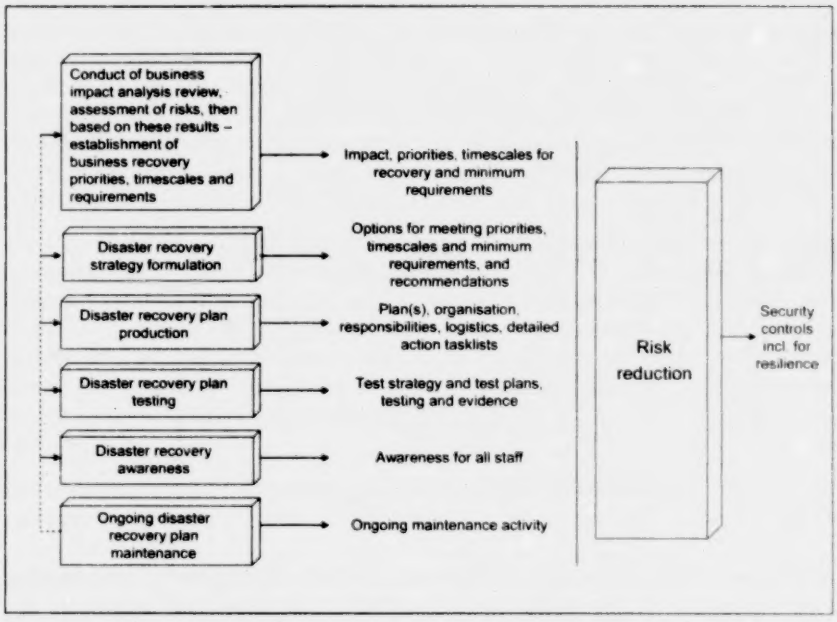
115. "Performance measurement" enables the review and improvement of ICT disaster recovery services and at the same time provides a means to demonstrate that services meet organization requirements.

116. The "processes" component ensures that a consistent approach will be adopted in the other areas of ICT disaster recovery, making possible the continuous maintenance of service levels and the ease of training of ICT disaster recovery personnel.

117. The "people" component relates to the pool of skilled and knowledgeable staff needed to help operate, uphold and maintain an ICT disaster recovery plan.

118. As illustrated in figure V, the overall approach that the Secretariat proposes to follow for the ICT disaster recovery planning consists of a number of discrete stages aimed at achieving a comprehensive and viable disaster recovery plan that fully meets the requirements of the Organization's business units in the event of a disaster or failure.

Figure V
Recommended approach to disaster recovery planning


Conduct of business impact analysis review, assessment of risks, then based on these results – establishment of business recovery priorities, timescales and requirements
Impact, priorities, timescales for recovery and minimum requirements
Disaster recovery strategy formulation
Options for meeting priorities, timescales and minimum requirements, and recommendations
Disaster recovery plan production
Plan(s), organisation, responsibilities, logistics, detailed action tasklists
Disaster recovery plan testing
Test strategy and test plans, testing and evidence
Disaster recovery awareness
Awareness for all staff
Ongoing disaster recovery plan maintenance
Ongoing maintenance activity
Risk reduction
Security controls incl. for resilience

119. The first five stages shown in figure V above are consecutive. When a disaster recovery plan has first been produced and tested, the sixth stage follows on over time, and is conducted at regular intervals and after any significant changes that might affect the validity of the plan, revisiting any of the other stages for update purposes as is necessary. In other words, it becomes an ongoing, cyclical process that must be integrated into the work programme of the Organization. The seventh stage is conducted in parallel with the other stages.

High-level strategy

120. The high-level strategy being proposed for the disaster recovery component of a unified approach to disaster recovery and business continuity takes into account all the following critical components of ICT infrastructure required for the continued support of mission-critical systems and services — desktop clients, mobile devices, networks, and data centre (computing) infrastructure. The first two components, desktop clients and mobile devices, will be addressed by rationalizing the ICT standards for relevant hardware, software and harmonizing the related practices in all locations. The disruptions in the other two components, loss of data centre services and/or network connectivity, are to be specifically addressed by the ICT disaster recovery plan.

121. The ICT disaster recovery plan will address only the recovery of the critical systems and communications. This scenario assumes that all equipment in the data centre is not salvageable and that all critical telecommunications capability has been lost.

122. Recovery activities will be conducted in a phased approach. The emphasis will be to recover critical systems effectively and efficiently. Critical systems will be recovered over a period of time following transfer of services to the recovery site, based on business recovery requirements to be developed under the proposed programme of work.

123. The plan to be developed will include in its scope the following objectives:

(a) Limit the magnitude of any loss by minimizing the duration of a critical system's service interruption;

(b) Recover data imperative to the operation of critical systems;

(c) Manage the recovery operation in an organized and effective manner;

(d) Prepare technology personnel to respond effectively in recovery situations.

124. With a view towards cost-efficiency, the plan will be guided by a principle of re-use, to the extent possible, of existing ICT infrastructure and facilities. It shall also focus on the consolidation of mission-critical systems in central or enterprise data centres as a means of strengthening disaster recovery and business continuity capabilities Organization-wide.

125. The use of a decentralized incident management model is assumed, whereby teams are to be established at each of the organization's sites and tasked with creating their own unique incident response procedures. Such procedures are to be site-specific to each duty station and coordinated centrally by the Office of Information and Communications Technology. These site-specific management teams are intended to ensure appropriate, timely, flexible emergency procedures for each site.

126. For the purposes of site recovery, the Secretary-General proposes to establish two enterprise data centres in geographically diverse locations; namely, at Brindisi and a second site that is to be determined based on the outcome of the "analysis phase" of the study. The two facilities are intended to host mission-critical enterprise systems and services for the Secretariat, while providing for a range of backup and fail-over capabilities between them in support of disaster recovery and business continuity operations.

127. Towards this end, funding approved under resolution 63/262 is being used in the current biennium to initiate the build-out of enterprise data centre capacity at UNLB. In line with the strategy presented in the report of the Secretary-General (A/62/477), UNLB is to serve as the primary electronic information repository for enterprise systems such as the ERP, ECM and CRM, as well as other mission-critical systems and related data for all duty stations within the Secretariat. This approach is an integral part of the initial phase that will be incrementally expanded to incorporate an all-encompassing disaster recovery and business continuity plan.

128. It should be noted that systems that do not require enterprise-wide access, or that have data protection requirements of zero-data loss, such as closed circuit television archiving for physical security systems, will need to continue to be supported in local data centres at each duty station. Through increased centralization of systems, however, the size of secondary data centres in duty stations should be reduced.

129. The classification and prioritization of data and mission-critical systems are to be addressed during the data-collection phase of the proposed programme of work outlined below. For example, the Department for General Assembly and Conference Management has several systems which do not have disaster recovery arrangements but are likely to be classified as critical. The data-collection phase, undertaken in collaboration with the Business Continuity Management Unit, will include analysis for purposes of classification in terms of criticality, and prioritization for purposes of recovery sequencing.

Proposed programme of work

130. The proposed programme of work for 2010-2011 is to continue ongoing activities on a unified approach to ICT disaster recovery and is based on applicable mandates contained in resolutions 63/262 and 63/269. It is proposed to be carried out in the following three phases:

(a) **Phase I — Data collection:**

(i) Project management (plan, scope and objectives);

(ii) Risk assessment;

(iii) Business impact/gap analysis;

(iv) Business recovery requirements determination;

(b) **Phase II — Plan development:**

(i) Disaster recovery and business continuity strategy reformulation;

(ii) Disaster recovery and business continuity plan modification, development, and/or enhancements;

(c) **Phase III — Testing, monitoring and maintenance:**

(i) Disaster recovery and business continuity plan testing;

(ii) Maintenance of the plan through updates and reviews;

(iii) Periodic inspection of disaster recovery and business continuity plans.

131. The data-collection phase of the project (phase I) is required to undertake further study and analyses to address the General Assembly mandates related to the classification of critical and non-critical systems, the prioritization of systems, and the consolidation of systems in enterprise data centres. It will consider the estimated likelihood of threat occurrence with the cost of specific process and system failures to identify especially important areas on which to focus disaster recovery and business continuity investments. Based on a Secretariat-wide classification of systems in terms of criticality, as requested in resolution 63/269, this effort will focus time and resources on the immediate restoration of only business functions, and their supporting systems, that are absolutely necessary for the Organization to continue to conduct business.

132. Activities associated with the business impact analysis, and the business recovery requirement determination in this phase of the work programme, are to be carried out by the Business Continuity Management Unit, and the results of those

studies will determine the extent to which local primary and local secondary data centres are required at each duty station, as well as their size and scope.

133. The scope of phase II will draw upon the experience of other United Nations entities with regard to disaster recovery and business continuity strategy formulation, solutions design, and plan development. It will address the development of data protection strategies for disaster recovery, and the development of site recovery strategies for business continuity. Also to be included are infrastructure design solutions for data protection and site recovery of mission-critical systems and services enterprise-wide, taking into account the most reliable and cost-effective solutions for data storage, business continuity services, and hosting of enterprise systems.

134. This phase of the work programme will serve to validate the high-level strategy presented here in terms of its alignment with applicable General Assembly mandates contained in resolutions 63/262 and 63/269. It will also result in the development of a comprehensive, unified disaster recovery and business continuity plan for ICT Secretariat-wide. Lastly, detailed analysis arising from studies undertaken in both phases I and II will form the basis for the proposal to be submitted at the sixty-fifth session of the General Assembly for a permanent secondary data centre for United Nations Headquarters.

135. As technology, personnel, and facilities undergo constant change at most duty stations, it is imperative that the resulting disaster recovery and business continuity plan is regularly updated to capture these changes. At the bare minimum, significant business and IT infrastructure changes should be automatic triggers for modification of the plan. These changes include: (a) new mission-critical systems; (b) new server or storage platforms; and (c) changes in organizational structure affecting key business units.

136. The need therefore exists for integration of disaster recovery and business continuity processes into project life cycle and change management processes. The integration of these processes represents critical activities that will need to be added to the broader work programme of the Office of Information and Communications Technology during the monitoring and maintenance (phase III) of this programme of work. Resource requirements for these activities and for periodic testing of plans in coordination with the Business Continuity Management Unit and the Department of Safety and Security will be formulated and submitted to the General Assembly at the sixty-fifth session.

D. Implementation plan

137. The completion of phase I (Data collection) is scheduled for the second quarter of 2010, with phase II (Plan development) projected for completion by September 2011. Full implementation of a unified disaster recovery and business continuity plan is scheduled in late 2011, at which time phase III (Testing, monitoring and maintenance) is expected to commence. Resource requirements for phase III will be presented to the General Assembly at the sixty-fifth session.

E. Project funding requirements

138. Phases I and II activities will require funding in the biennium 2010-2011 for the development of duty station-specific data protection and site recovery strategies, and disaster recovery plans tailored to the threat profiles of each site. It will also require funding for the implementation of disaster recovery and business continuity infrastructure solutions arising from phase II plans. As indicated above, resource requirements for phase III activities will be presented at the sixty-fifth session of the General Assembly, following the conclusion of work on the structural review.

139. Resources are therefore sought in the amount of $3,392,300 under the proposed programme budget for the biennium 2010-2011 to cover projected expenditures for the following phase I and phase II activities associated with a unified approach to disaster recovery and business continuity:

(a) Data collection;

(b) ICT business impact analysis;

(c) Business recovery requirements determination;

(d) Disaster recovery and business continuity plan development;

(e) Data centre infrastructure upgrades for site recovery in UNLB at Brindisi;

(f) Data centre infrastructure upgrades for data protection in UNLB at Brindisi.

Table 4
Resource requirements for disaster recovery and business continuity (at 2008-2009 rates)

(Thousands of United States dollars)

Object of expenditure	*Current estimate*
Other staff costs	384.0
Travel	108.6
Contractual services	2 830.9
General operating expenses	58.2
Supplies and materials	1.0
Furniture and equipment	9.6
Total	**3 392.3**

140. Funding requested in the proposed programme budget for the biennium 2010-2011 consists of two major components. The first component relates to funding for contractual services to undertake a study for the classification and prioritization of ICT systems, as well as the reformulation of a unified disaster recovery and business continuity plan. This study is to be carried out in two phases in collaboration with the Business Continuity Management Unit, at an estimated cost of $1,808,600. A provision of $1,308,600 will support the contractual services and travel to continue studies being initiated at the 12 sites that comprise United Nations Headquarters,

offices away from Headquarters, UNLB at Brindisi, the International Tribunal for the former Yugoslavia and the International Criminal Tribunal for Rwanda. A further $500,000 in contractual services is required to support the strategy reformulation and disaster recovery solution design.

141. The second component of $1,127,300 relates to the ongoing operation of the enterprise data centre in UNLB for a service-level agreement to cover the costs of maintenance of equipment and services.

142. In addition, $384,000 is sought for general temporary assistance at the P-5 level for 24 months as a Disaster Recovery Coordinator.

143. An amount totalling $72,400 is required for the non-post costs such as rent, alterations, furniture and information and communications charges associated with the general temporary assistance position detailed above; included in the standard costs are the expenses of $3,600 for data processing services, $58,200 for general operating expenses, $1,000 for supplies and materials and $9,600 for furniture and equipment.

IV. Conclusions and summary of resources

Conclusions

144. The present report provides an update on the implementation of the ECM and CMR systems and the disaster recovery business continuity initiatives and details the planned project activities for 2010-2011 and their related resource requirements.

145. The report describes how Enterprise Content Management is the foundation for effective knowledge management. Implementing knowledge management requires a global approach, which should address the information needs of United Nations stakeholders, both internal and external. This Organization-wide effort allows for an identification of information gaps that will have to be filled to satisfy stakeholders' needs. Emphasis will then be given to leveraging successes that already have shown visible results, and learning from past mistakes. An incremental approach will be taken to ensure that a critical mass of personnel use existing knowledge, and are involved in collaborative approaches so that, ultimately, the Organization will reap the benefits of more effective decision-making, quicker access to key documents and more targeted services to Member States.

146. The second project, customer relationship management, will improve service delivery across the Secretariat by improving quality and cost-effectiveness of the services provided. With the streamlined service processes and consolidated technology solutions, service providers can utilize their resources more efficiently while users can expect better service with faster turnaround. A unified customer experience with increased productivity gains will be evident to all customers including internal customers, delegates, external organizations and the public.

147. For disaster recovery and business continuity, the present report sets out the framework and a set of principles for a programme of work that forms the basis upon which the Secretariat can develop a unified approach to disaster recovery and business continuity for United Nations Headquarters, offices away from Headquarters, the regional commissions, peacekeeping and political missions, the

International Criminal Tribunal for Rwanda, and the International Tribunal for the former Yugoslavia.

148. The following tables summarize the resource requirements under the proposed programme budget for the biennium 2010-2011 by section and object of expenditure and project arising from the proposals contained in sections II and III of the present report.

Table 5
Summary of resources by project

Name of project	*Proposed resources*
Enterprise content management	14 548 300
Customer relationship management	4 433 000
Disaster recovery and business continuity	3 392 300
Subtotal (net)	**22 373 600**
Section 36: Staff assessment[a]	735 300
Total (gross)	**23 108 900**

[a] Offset by an equivalent amount under Income section 1, Income from staff assessment.

Table 6
Summary of objects of expenditure: resource requirements by object of expenditure for the biennium 2010-2011[a]

		2010-2011				
		Growth				
Object of expenditure	*2008-2009 revised appropriation*	*Proposed programme budget A/64/6*[b]	*Present report*	*Total before recosting*	*Recosting*	*2010-2011 estimate*
Posts	92 929.5	346.5	—	93 276.0	4 742.5	98 018.5
Other staff costs	3 580.9	(182.4)	4 889.6	8 288.1	403.2	13 580.9
Consultants and experts	305.1	0.0	—	305.1	14.8	319.9
Travel of staff	699.3	0.0	448.1	1 147.4	53.1	1 648.6
Contractual services	25 336.7	1 953.5	13 316.5	40 606.7	1 972.7	55 895.9
General operating expenses	116 643.4	(1 209.5)	1 836.9	117 270.8	5 696.6	124 804.3
Hospitality	10.3	(4.1)	—	6.2	0.4	6.6
Supplies and materials	3 306.0	(760.0)	33.0	2 579.0	124.8	2 736.8
Furniture and equipment	5 606.4	(2 949.0)	1 849.5	4 506.9	219.3	6 575.7
Subtotal (net)	**248 417.6**	**(2 805.0)**	**22 373.6**	**267 986.2**	**13 227.4**	**281 213.6**

		2010-2011				
		Growth				
Object of expenditure	*2008-2009 revised appropriation*	*Proposed programme budget A/64/6*[b]	*Present report*	*Total before recosting*	*Recosting*	*2010-2011 estimate*
Staff assessment[c]	510 939.6	1 885.4	735.3	513 560.3	14 779.4	529 075.0
Total (gross)	**759 357.2**	**(919.6)**	**23 108.9**	**781 546.5**	**28 006.8**	**809 553.3**

[a] Requirements relate to the 3 sections of the proposed programme budget detailed in table 7 below.

[b] Growth in the proposed programme budget (A/64/6) does not relate to ECM, CRM or disaster recovery and business continuity activities.

[c] Offset by an equivalent amount under Income section 1, Income from staff assessment.

Table 7

Summary by section: resource requirements by budget section for the biennium 2010-2011

			2010-2011				
			Growth				
Budget section		*2008-2009 revised appropriation*	*Proposed programme budget A/64/6*[a]	*Present report*	*Total before recosting*	*Recosting*	*2010-2011 estimate*
28D.	Office of Central Support Services	175 088.5	(1 594.6)	1 416.8	174 910.7	8 569.4	183 480.1
29.	Office of Information and Communications Technology	73 329.1	(1 210.4)	20 956.8	93 075.5	4 658.0	97 733.5
Subtotal (net)		**248 417.6**	**(2 805.0)**	**22 373.6**	**267 986.2**	**13 227.4**	**281 213.6**
36.	Staff assessment[b]	510 939.6	1 885.4	735.3	513 560.3	14 779.4	528 339.7
Total (gross)		**759 357.2**	**(919.6)**	**23 108.9**	**781 546.5**	**28 006.8**	**809 553.3**

[a] Growth in the proposed programme budget (A/64/6) does not relate to ECM, CRM or disaster recovery and business continuity activities.

[b] Offset by an equivalent amount under Income section 1, Income from staff assessment.

V. Actions to be taken by the General Assembly

149. The General Assembly is requested to:

(a) **Endorse the proposals and approach described in the present report for the implementation of enterprise content management, customer relationship management and business continuity and disaster recovery planning;**

(b) **Approve the funding required to continue the Enterprise Content Management project for the biennium 2010-2011 estimated at $14,548,300;**

(c) **Approve the funding required to continue the Customer Relationship Management project for the biennium 2010-2011 estimated at $4,433,000;**

(d) Approve the funding required to undertake development of a unified disaster recovery plan and to maintain the Brindisi enterprise data centre for the biennium 2010-2011 estimated at $3,392,300;

(e) Approve a total amount of $23,108,900 gross ($22,373,600 net) for the biennium 2010-2011 under section 28D, Office of Central Support Services ($1,416,800) and section 29, Office of Information and Communications Technology ($20,956,800); and section 36, Staff assessment ($735,300), to be offset by a corresponding amount under Income section 1, Income from staff assessment, of the proposed programme budget for the biennium 2010-2011;

(f) Note that comprehensive plans on disaster recovery and business continuity for Secretariat entities including requirements for the maintenance and monitoring phase of the information and communications technology disaster recovery plan will be submitted for consideration in the context of the proposed programme budget for the biennium 2012-2013.

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Agenda item 143
Financing of the International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and Other Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994

Budget for the International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and Other Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994, for the biennium 2010-2011

Report of the Secretary-General

Summary

The present report contains the resource requirements for the biennium 2010-2011 of the International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and Other Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994.

The resources for the biennium 2010-2011 before recosting amount to $244,085,700 gross ($226,618,500 net), and reflect a decrease in real terms of $61,292,900 gross or 20.1 per cent ($55,978,600 net or 19.8 per cent), compared to the revised appropriation for the biennium 2008-2009.

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I. Overview

1. The International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and Other Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994 was established by the Security Council in its resolution 955 (1994). According to articles 2, 3 and 4 of its statute, the Tribunal has been empowered to prosecute persons responsible for genocide and other serious violations of international humanitarian law committed in the territory of Rwanda and of neighbouring States between 1 January and 31 December 1994. In accordance with article 10 of its statute, the Tribunal consists of three organs, namely, the Chambers, the Office of the Prosecutor and the Registry.

2. In its resolution 1329 (2000), the Security Council expressed its continuing conviction that, in the particular circumstances of Rwanda, the prosecution of persons responsible for genocide and other serious violations of international humanitarian law contributed to the process of national reconciliation, and to the restoration and maintenance of peace in Rwanda and in the region.

3. The Security Council, in its resolution 1503 (2003), called upon the Tribunal to take all possible measures to complete investigations by the end of 2004, to complete all trial activities at first instance by the end of 2008 and to complete all work in 2010 (the completion strategy). In its resolution 1534 (2004), the Council again emphasized the importance of implementing fully the completion strategy of the Tribunal.

4. Consequently, the Tribunal developed its completion strategy, which comprises two main pillars: (a) the fair and expeditious completion of trials at the Tribunal, in accordance with the deadlines set in Security Council resolutions 1503 (2003) and 1534 (2004), of those who bear the greatest responsibility for the crimes committed in 1994; and (b) the transfer of selected cases for trial to competent national jurisdictions. On 14 May 2009, the latest version of the completion strategy was submitted for the consideration of the Security Council (S/2009/247, enclosure) under which it is anticipated that the judgement drafting of the trials of 25 accused that are now in progress and the trials, yet to be commenced, of at least 6 others, can be substantially concluded by the end of 2010.

5. The Tribunal was not able to complete all trials in the first instance by the end of 2008. Some of the contributing factors included the "late" arrest of some of the fugitives prioritized for trial at the Tribunal, the rejection of applications in terms of rule 11 bis of the Rules of Procedure and Evidence for the referral to Rwanda for trial of four cases of detainees and one case of a fugitive, unavailability of judges and delays in some of the ongoing trials, resulting in their spillover.

6. The delayed start of several new cases in the first months of 2009 puts particular strain on judges, and on legal and support staff in the middle of 2009. The reasons for the delay included the death of one lead counsel and the resignation of another shortly before the commencement of a trial, the recusal of a presiding judge at the beginning of a trial, disclosure problems causing fair trial concerns, requests by the defence to allow for longer pretrial preparation, and legal controversy about the scope of retrial.

7. Since June 2007, the Prosecutor had requested the transfer to Rwanda of five cases concerning one fugitive and four accused detained at the Tribunal. Following the denial of those requests in the cases of Munyakazi (28 May 2008), Kanyarugika (6 June 2008) and Hategekimana (19 June 2008), based on fair trial concerns, two Trial Chambers denied the remaining two requests in the reporting period in the cases of Gatete (17 November 2008) and Kayishema (16 December 2008). The Appeals Chamber confirmed the denial in the case of Hategekimana on 4 December 2008, as before in the cases of Munyakazi (8 October 2008) and Kanyarukiga (30 October 2008). It was therefore necessary for the Tribunal to schedule trials for all of the four detained accused.

8. The referral of cases from the Tribunal to national jurisdictions for trial remains a key pillar of the completion strategy. The Office of the Prosecutor is considering additional measures to ensure timely completion and to further reduce the possibilities for the emergence of an impunity gap.

9. In this regard, the Office of the Prosecutor continues to finalize preparation of the cases of fugitives, with a view to applying for their referral to national jurisdictions. As mentioned earlier, the five requests for referral of cases to Rwanda have been denied by the Trial Chambers on grounds of lack of guarantees of fair trial. All three Trial Chamber decisions that were appealed have been confirmed by the Appeals Chamber. The Government of Rwanda is in the process of further amending its laws in order to remove any remaining legal hurdles for the transfer of cases from the Tribunal to be heard in Rwanda. When such new legislation is in place, the Prosecutor intends to reapply for referral of cases to Rwanda.

10. The Office of the Prosecutor also intends to propose an amendment to the Tribunal's Rules of Procedure and Evidence to include the option of special proceedings for the preservation of evidence against all fugitives for use during their trials when they are eventually arrested and tried. These proceedings aim at preserving evidence to be used in the prosecution of fugitives before the Tribunal after they are apprehended. The proposed amendment is not intended to constitute a trial in absentia. Rather, it intends to provide for adequate fair trial guarantees for the accused, including the appointment of counsel by the Trial Chamber during such proceedings.

11. Another measure to minimize an impunity gap relates to the work of the Office of the Prosecutor in follow-up to the round-table discussion with international and national Prosecutors in November 2008 and to the emerging consensus within INTERPOL, the International Association of Prosecutors and key regional national Prosecutors to enhance cooperation in the tracking, arrest and prosecution of Tribunal indictees as well as other suspects of the Rwandan genocide of 1994.

12. Investigations of the Office of the Prosecutor continue to focus on trial and appeal support, preparation of cases of fugitives and other indictees in custody for referral. Investigators of the Office of the Prosecutor also provide support to foreign requests for prosecution of cases before national jurisdictions of persons who have not been indicted by the Tribunal but against whom the Office of the Prosecutor often holds substantial evidentiary information in its database.

13. For the pretrial phase of each case, the Office of the Prosecutor ensures the trial-readiness of all evidence, including the witnesses. Furthermore, additional investigations

may be required during a trial to provide for additional and corroborating evidence and to address the defence case, including necessary rebuttal evidence.

14. The Tracking Team of the Office of the Prosecutor continues to intensify its efforts to locate the 13 remaining fugitives, a task that has been made more difficult by the security situation in the Democratic Republic of the Congo. The Prosecutor continues to pursue with the Government of Kenya the matter of the seizure of the assets of Félicien Kabuga, as well as his arrest and transfer to the Tribunal for trial. Kabuga and three other high-level fugitive indictees are earmarked for trial at the Tribunal because of their leadership roles during the 1994 genocide. Their possible arrest and transfer to the Tribunal would require a reassessment of the Tribunal's judicial calendar. The Prosecutor intends to request the referral of the other nine fugitive cases to national jurisdictions for trial.

15. In addition to new trials, the work of the Office of the Prosecutor focuses on the increasing workload of its Appeals and Legal Advisory Division that will take up the applications and appeals from the several judgements expected to be delivered in 2009 and 2010.

16. The Tribunal depends on the continued assistance of Member States to accomplish its mandate. Cooperation is required, in particular, for arrests of fugitives, possible transfer of cases, enforcement of sentences and relocation of acquitted persons and persons who have served their sentence.

17. The arrest of the 13 remaining fugitives remains a core element of the Tribunal's mandate. The Prosecutor continues to undertake diplomatic missions to secure the political support and cooperation of States for the fugitives' arrest and transfer to the Tribunal.

18. At present, the Tribunal has signed agreements with seven States on the enforcement of sentences. Since the transfer of eight convicted persons in November 2008 to Mali, transfer decisions for eight other detainees are under preparation.

19. Efforts continue to be made by the Registry to find host countries for the relocation of the two acquitted persons who remain currently under the protection of the Tribunal.

20. The difficulty in retaining competent, knowledgeable and experienced staff remains a major source of concern for the Tribunal, which can no longer offer long-term job security to its staff. At the same time, the continued service of the same staff in areas with consistently heavy workloads is essential to ensure the timely completion of the trials and to ensure a smooth transition to the future residual mechanism. The proliferation of Trial Chamber judgements that will be delivered in 2009 and 2010 will require increased appellate capacity to complete the workload within a reasonable period.

21. The overall resources required for the biennium 2010-2011 for the Tribunal amount to $244,085,700 gross ($226,618,500 net), before recosting, reflecting a decrease of $61,292,900 gross, or 20.1 per cent ($55,978,600 net, or 19.8 per cent), when compared with the revised appropriation for the biennium 2008-2009.

22. The International Criminal Tribunal for Rwanda proposes the retention of 628 posts, representing a decrease through abolition of 65 posts, or 9.4 per cent (22 Professional and 43 General Service posts) over the current authorized staffing level of 693. These abolitions would be effective 1 January 2011, based on the latest trial schedule.

23. The Office of the Prosecutor proposes the retention of 119 posts (1 USG, 1 D-2, 1 D-1, 11 P-5, 30 P-4, 32 P-3, 16 P-2, 25 General Service (Other level), 1 Field Service and 1 local level) out of a total of 142. The difference relates to the abolition of 23 posts (1 D-1, 2 P-5, 6 P-4, 7 P-3, 1 P-2, and 6 General Service (Other level)) effective 1 January 2011.

24. The Registry proposes to retain a total of 509 posts (1 ASG, 2 D-1, 11 P-5, 46 P-4, 73 P-3, 33 P-2, 6 General Service (Principal level), 89 General Service (Other level), 15 Field Service, 48 Security Service and 185 local level) out of a total of 551. The difference relates to the abolition of 42 posts (1 P-4, 4 P-2, 15 General Service (Other level), 5 Field Service, 2 Security Service and 15 local level) effective 1 January 2011.

25. Furthermore, based on the latest trial schedule for 2010, the Tribunal has determined that some of the functions slated for termination in 2009 would need to continue until 30 September 2010 in order to maintain certain critical functions in support of the ongoing trials. Accordingly, the provisions include an amount of $8,689,300 to cover the corresponding salaries and common staff costs associated with the continuation for up to nine months of the functions of 93 positions (2 P-5, 3 P-4, 18 P-3, 33 P-2, 21 General Service (Other level) and 16 local level) in the Judicial Support Services Division of the Registry. This arrangement would ensure the Registry the flexibility to accelerate or decelerate the phasing out of individual positions.

26. Included in the overall resource requirements are provisions for the continuation of the redaction and digitization of all audio-visual materials, including archiving of records of the Office of the Prosecutor, and the accrued liabilities related to pensions of retired judges. The provisions related to the after-service health insurance for the Tribunal, estimated at $29.7 million, are included in the report of the Secretary-General relating to the liabilities and proposed funding for after-service health insurance benefits (A/64/366).

27. The recosting of the proposed budgetary provisions at 2010-2011 rates contained in the present report is preliminary. For salaries related to posts in the Professional and higher categories, adjustments reflect the projected movement of post adjustment indices in 2009. Similarly, with regard to General Service salaries, recosting includes the forecast of probable cost-of-living adjustments based on anticipated inflation rates. The average vacancy rates for Professional and General Service posts realized in 2008 are proposed for 2010-2011. No attempt is made to forecast the movement of the relevant currency vis-à-vis the United States dollar at this time. The proposed budget will be recosted in December 2009, based on the latest data on actual inflation experience, the movement of post adjustment indices in 2009, the outcome of salary surveys, if any, salary expenditure experience, and evolution of operational rates of exchange in 2009.

28. During the biennium, extrabudgetary resources are estimated at $2,063,300, to be utilized for the continued implementation of various outreach and capacity-building programmes, support programme for witnesses, and the operation of the International Criminal Tribunal for Rwanda fourth courtroom. The decrease in the overall extrabudgetary resource requirements reflect the level of expected voluntary contributions during the biennium.

29. The distribution of resources proposed for the Tribunal for the biennium 2010-2011 is reflected in tables 1 to 3 below.

Table 1
Percentage distribution of resources by component

	Assessed budget	*Extrabudgetary*
A. The Chambers	4.2	—
B. Office of the Prosecutor	18.7	—
C. The Registry	66.9	100.0
D. Archives	2.7	—
E. Liabilities for pension of retired judges	7.5	—
Total	**100.0**	**100.0**

Table 2
Resource requirements by component
(Thousands of United States dollars)

(1) Assessed budget[a]

Component	*2006-2007 expenditure*	*2008-2009 appropriation*	*Resource growth*		*Total before recosting*	*Recosting*	*2010-2011 estimate*
			Amount	*Percentage*			
A. The Chambers	9 119.9	11 214.8	(1 079.6)	(9.6)	10 135.2	352.6	10 487.8
B. Office of the Prosecutor	65 038.9	69 278.8	(23 707.7)	(34.2)	45 571.1	2 599.2	48 170.3
C. The Registry	202 274.2	215 893.6	(52 561.5)	(24.3)	163 332.1	10 205.6	173 537.7
D. Records management and archives	—	8 991.4	(2 365.1)	(26.3)	6 626.3	606.8	7 233.1
E. Liabilities for pension of retired judges	—	—	18 421.0	—	18 421.0	—	18 421.0
Total (gross)	**276 433.0**	**305 378.6**	**(61 292.9)**	**(20.1)**	**244 085.7**	**13 764.2**	**257 849.9**
Income							
Income from staff assessment	23 252.7	22 781.5	(5 314.3)	(23.3)	17 467.2	394.4	17 861.6
Total (net)	**253 180.3**	**282 597.1**	**(55 978.6)**	**(19.8)**	**226 618.5**	**13 369.8**	**239 988.3**

(2) Extrabudgetary

	2006-2007 expenditure	*2008-2009 estimate*	*2010-2011 estimate*
Activities	2 283.2	2 146.0	2 063.3
Total	**2 283.2**	**2 146.0**	**2 063.3**
Total (1) and (2)	**255 463.5**	**284 743.1**	**242 051.6**

[a] The provisions related to the after-service health insurance for the Tribunal, estimated at $29.7 million, are included in the report of the Secretary-General relating to the liabilities and proposed funding for after-service health insurance benefits (A/64/366).

Table 3
Post requirements

Category	*2008-2009 revised appropriation*	*Proposed changes*		*Total 2010-2011*
		January 2010	*January 2011*	
Professional and above				
USG	1	—	—	1
ASG	1	—	—	1
D-2	1	—	—	1
D-1	4	—	(1)	3
P-5	24	—	(2)	22
P-4/3	195	—	(14)	181
P-2/1	54	—	(5)	49
Subtotal	**280**	—	**(22)**	**258**
General Service and other				
Principal level	6	—	—	6
Other level	135	—	(21)	114
Security Service	50	—	(2)	48
Local level	201	—	(15)	186
Field Service	21	—	(5)	16
Subtotal	**413**	—	**(43)**	**370**
Total	**693**	—	**(65)**	**628**

II. Programme of work and resource requirements

A. The Chambers

30. The Trial Chambers of the International Criminal Tribunal for Rwanda currently comprise seven permanent trial judges and eleven ad litem judges in Arusha, United Republic of Tanzania. The Appeals Chamber consists of seven permanent appeals judges in The Hague, five of whom are financed from the International Tribunal for the former Yugoslavia and two of whom are charged to the budget of the International Criminal Tribunal for Rwanda.

31. On 14 May 2009, President Byron submitted the latest version of the Tribunal's Completion Strategy, which maintains the goal of completing the evidence phase in all but one first instance trial by the end of 2009. Subsequent developments, however, now indicate that a spillover in the evidence phase of additional three cases into the first months of 2010 will be necessary.

32. At the time of the Tribunal President's address to the Security Council on 4 June 2009, the Tribunal had rendered judgement in respect of 44 persons; was engaged in judgement drafting in respect of 17 persons; and was engaged in ongoing

trials in respect of 7 persons. A total of 6 detainees were awaiting trial in the United Nations Detention Facility in Arusha, and a further 13 indictees remained at large.

33. The President's request seeking an extension of the mandate of five of the seven permanent judges and all 11 ad litem judges to handle the remaining work in 2010 was granted by the Security Council in its resolution 1878 (2009). By the same resolution, and in order to achieve an efficient and timely completion of the Appeals work with the expected timeline for appeals within the Completion Strategy, the Tribunal was authorized to redeploy up to four additional trial judges to enlarge the membership of the Appeals Chambers in anticipation of an increased workload in the Appeals Chamber.

34. By way of programme of work, the Trial and Appeals Chambers expect the following workload in 2010-2011:

(a) At the trial level:

- Judgement drafting and delivery in 12 trial cases involving 25 accused;
- Completion of evidence phase in the *Karemera et al.*, the *Nzabonimana*, the *Gatete*, and the *Ngirabatware* trials in case of spillover in 2010;
- Deposition-taking in evidence preservation proceedings in four cases;
- Decisions on up to nine requests for referrals under rule 11 bis;
- Decisions on requests for reviews;
- Possible retrials;
- Possible trials of up to four contempt cases;
- Preparation of transition to the Residual Mechanism by the Advance Team.

(b) At the appeals level:

- Hearings on appeal from judgement in 13 cases;
- Appeal of judgement delivery in 13 cases;
- Interlocutory appeals, referral appeals, requests for review and reconsideration, and applications related to those matters.

35. In the calendar year 2010, the workload of the Trial Chambers will comprise work in 12 cases involving 25 accused persons. The cases will involve those in which trials were completed in 2009 but in which the judgement drafting will spill over into 2010. This continues to be an unprecedented stream of workload for judges in the Trial Chambers and for the staff who assist them.

36. During the biennium 2008-2009, the following 10 new single-accused cases materialized: Bagaragaza, Gatete, Hategekimana, Kanyarukiga, Munyakazi, Muvunyi (retrial), Ngirabatware, Nzabonimana, Ntawukulilyayo and Nshogoza (contempt).

37. These additional cases resulted from: (a) the falling through of a guilty plea agreement in Bagaragaza; (b) the denial of rule 11 bis referrals in the Gatete, Hategekimana, Kanyarukiga and Munyakazi cases; (c) the appeal judgement in the Muvunyi case, ordering a retrial on one count; (d) arrests and/or transfer in 2008 of

accused Ngirabatware, Nzabonimana and Ntawukulilyayo; and (e) a contempt case in Nshogoza.

38. These new cases resulted in a significant increase in the workload of the Trial Chambers, given the existence of 13 other cases (involving 29 accused) that were already on the Chambers workload, thus resulting in a spillover of the workload into 2009. Judgements have now been rendered in eight of those cases (involving 11 accused). However, work continues in the following remaining six cases involving 19 accused: Setako, Karemera et al. (3 accused), Nyiramasuhuko et al. (6 accused), Ndindiliyimana et al. (4 accused), Bizimungu et al. (4 accused), and Nsengimana.

39. Trial activities are still in progress in one of the cases (Karemera et al.). The rest are now in the judgement drafting phase and the workload remains heavy, since the work in those cases remains substantial in terms of judicial deliberations and judgement drafting.

40. In view of the limited number of judges and staff needed to work on the cases, the materialization of the new cases exerted pressure on the workload of the Trial Chambers, making it impossible to finish much of the work in 2009 as earlier projected. The judges and the legal staff had to undertake multiple assignments, which constituted an added challenge vis-à-vis the completion of the cases within the time originally expected. As a result, the workload of the Trial Chambers will continue throughout 2010.

41. The projections and updates in respect of the cases are as follows:

(a) The evidence phase in the Setako trial has been completed with closing arguments still to be heard and the projected judgement delivery date is end of December 2009;

(b) The Ngirabatware trial was scheduled to commence in May 2009. However, an Appeals Chamber decision requires a postponement of the start of the trial, which will affect the projected judgement delivery date at the end of June 2010. The trial is now scheduled to begin in September 2009, with a projected judgement delivery date of end-December 2010;

(c) The Ntawukulilyayo trial started on 6 May 2009, with a projected judgement delivery date of end-September 2010;

(d) The Bagaragaza trial is expected to start in the third quarter of 2009, with a projected judgement delivery date of end-September 2010;

(e) The Nyiramasuhuko et al., the Ndindiliyimana et al., and the Bizimungu et al. cases are all at the judgement drafting stage, with a projected judgement delivery date of end-September 2010 in each case;

(f) The Nzabonimana trial is expected to commence in October 2009, with a projected judgement delivery date of end-December 2010;

(g) The Karemera et al. case is still ongoing. The trial had to be interrupted various times due to the illness of one of the accused. If the evidence phase can continue in the second half of 2009 and be completed in the first half of 2010, judgement delivery is expected in the first half of 2011;

(h) The Hategekimana trial commenced in March 2009 with a projected judgement delivery date of end-June 2010;

(i) The Kanyarukiga trial is scheduled to start in September 2009, with a projected judgement delivery date of end-June 2010;

(j) The Munyakazi trial started on 22 April 2009, with a projected judgement delivery date of end-June 2010;

(k) The Gatete trial is expected to start in October 2009, with a projected judgement delivery date of end-December 2010.

42. The postponement of the start of several of the new cases is due to a variety of factors, in particular, the resignation of defence counsels (Gatete and Kanyarukiga), which required additional time for preparation of new counsel, and the heavy workload of the judges sitting in several ongoing cases in parallel, so that the commencement of trials had to be also adjusted to their availability.

43. It is now expected that all trial activities, in terms of evidential hearings, will have concluded by the end of 2009 for all but four cases (Karemera et al., Gatete, Nzabonimana, and Ngirabatware). Judgements are expected to be delivered by the end of December 2010; however, it is possible that the four cases listed above might spill over into 2011, due to judgement drafting.

44. In 2010-2011, provisions will also have to be made for Trial Chamber capacity to respond to requests for reviews, orders from the Appeals Chamber, as well as for possible retrials and other residual issues until the end of 2011.

45. Subject to the approval of an amendment to the Rules of Procedure and Evidence by the plenary session of the judges, the Office of the Prosecutor will seek to request the Chambers to conduct deposition hearings, in the nature of examination of available witnesses for purposes of preserving the evidence in the cases of the four high-ranking accused persons who have remained at large and who are earmarked for trial before the Tribunal. The Office of the Prosecutor estimates that a minimum of four weeks will be needed for each of these cases. This requires judges and Chambers legal staff to conduct those hearings in 2010-2011.

46. Previously, all five requests by the Prosecutor for referral of cases to Rwanda under rule 11 bis have been denied by the Trial Chambers and by the Appeals Chamber in three of those cases. Rwanda is in the process of modifying its legislation to address some of the Chambers' concerns. Depending on the outcome of these reforms, the Prosecutor intends to file new requests for referral for up to nine fugitives who are not earmarked for trial before the Tribunal. Chambers will have to address the requests.

47. Currently, investigations are ongoing in several cases concerning possible contempt of court proceedings. Accordingly, staffing provisions have been made for up to four cases reaching the trial stage.

48. At the Appeals Chamber, the programme of work for 2010-2011 is projected as follows: in 2010, four judgements are expected to be delivered (Rukundo, Renzaho, Kalimanzira, Nsengimana) and six appeals are expected to be heard (in the cases of Bagosora et al., Rukundo, Renzaho, Kalimanzira, Nsengimana, Setako). In 2011, seven judgements should be delivered (in the cases of Bagosora et al., Setako, Hategekimana, Bagaragaza, Ntawukulilyayo, Ngirabatware, Kanyarukiga) and five

appeals should be heard (Hategekimana, Bagaragaza, Ntawukulilyayo, Ngirabatware, Kanyarukiga). In addition, it is expected that judgements will be delivered during the biennium 2010-2011 in the Muvunyi retrial and the Nshogoza trial (contempt).

Outputs

49. During the biennium 2010-2011, the following outputs will be delivered:

(a) Courtroom activities: orders for the transfer and detention of suspects, initial appearances, hearings on pretrial motions, status conferences, pretrial conferences, pre-defence conferences, reviews of and orders for protection measures for witnesses, trials, issuance of judgements of acquittal under rule 98 bis, issuance of final judgements, sentencing procedures, reviews and deferrals, suspensions of indictments under rule 11 bis and issuance of restitution orders in appropriate cases, and appeals hearings;

(b) Judicial activities: review and confirmation or dismissal of indictments or counts thereof, site visits, deliberations, drafting of judgements and decisions both in the Trial Chambers and in the Appeals Chamber, consideration of applications for orders and warrants, taking of depositions, holding of informal scheduling conferences, consideration of amicus curiae applications and supervision of imprisonment, transfer of convicts to places of imprisonment, plenary meetings;

(c) Reports of the President to the Security Council, on the request of a trial chamber or the Prosecutor, as to non-compliance by States with orders of the Tribunal;

(d) Annual report to the General Assembly and the Security Council under article 32 of the statute; the President's biannual report to the Security Council on the completion strategy;

(e) Appeals for international assistance to States;

(f) Discussion of issues of mutual concern and matters of policy and consideration and modification of the Rules of Procedure and Evidence and other basic texts of the Tribunal;

(g) Issuance of definitive editions of the Rules of Procedure and Evidence and the basic texts of the Tribunal in the two working languages of the Tribunal, in both hard-copy and electronic formats;

(h) Research in international and national law and preparation, drafting, editing and issuance of all such documents, in the two working languages of the Tribunal, in both hard-copy and electronic formats;

(i) Press releases on matters of importance to the Tribunal as a whole;

(j) Special events: hosting visiting dignitaries, usually at the ambassador or foreign minister level, and meeting heads of State, explaining courtroom activities and the functioning of the Tribunal, establishing and maintaining high-level contacts with Governments of Member States to facilitate and improve cooperation with the Tribunal, swearing in new judges and hosting judges from other jurisdictions;

(k) Non-governmental organizations: responding to a few of the large number of requests for speakers and participation in seminars, conferences and symposiums on all aspects of judicial activity;

(l) Participation in activities within the United Nations system: annual statement by the President of the Tribunal to the General Assembly and participation in meetings concerning the role of the Tribunal within the United Nations system, cooperation with the International Tribunal for the former Yugoslavia and participation in discussions concerning other international judicial entities.

Table 4
Resource requirements — Chambers

	Resources (thousands of United States dollars)		*Posts*	
Category	*2008-2009*	*2010-2011 (before recosting)*	*2008-2009*	*2010-2011*
Assessed budget				
Non-post	11 214.8	10 135.2	—	—
Total	11 214.8	10 135.2	—	—

50. The amount of $10,135,200, representing a decrease of $1,079,600, would provide compensation for the judges during the biennium as well as their travel resources. The reduced requirements reflect a gradual decrease in the number of judges during the biennium, owing to the reduced level of trial activity. The provisions for the salaries and allowances of judges have been calculated based on the terms and conditions of service established by the General Assembly in accordance with its resolutions 61/262 and 63/259, and its decision 62/547.

B. Office of the Prosecutor

51. The Office of the Prosecutor is responsible for the prosecution of people suspected of bearing the highest responsibility in the commission of genocide and other serious violations of international humanitarian law committed in the territory of the Republic of Rwanda in 1994, as well as Rwandans who are suspected of committing such acts in neighbouring territories between 1 January and 31 December 1994. The role and responsibilities of the Prosecutor consist of the investigation and prosecution of the crimes listed in articles 2, 3 and 4 of the statute of the Tribunal. He/she is therefore responsible for the collection of evidence establishing the commission of these crimes, the tracking and arrest of those he/she indicts and the presentation of charges and evidence against them before the Chambers of the Tribunal.

52. At this stage, the major focus of the Prosecutor is the completion of the remaining trial and appeals workload, the referral of cases to national jurisdictions and the tracking of the remaining fugitives. The year 2009 has been a period of increased activity for the Office of the Prosecutor, marked by increased trial work in the prosecution of 10 new single accused cases of detainees at the United Nations Detention Facility.

53. Projections relating to the progress and completion of the hearing in the Karemera et al. trial, involving three accused persons, did not materialize, due to the illness and absence of one of the accused persons from August 2008 to March 2009, as well as the subsequent appeals litigation relating to the Trial Chamber's severance of the case of Ngirumpatse from the rest of the case. There have also been a number of delays in other trials during 2009 which increased the probability of some trials spilling over into 2010.

54. The start of the single-accused trials of Hategekimana, Muvunyi, Kanyarukiga and Ngirabatware that had been scheduled for the first half of 2009, did not materialize, with the result that some of them will start later during the year. The prosecution case closed on 26 May 2009 in the Ntawukulilyayo trial and the start of the defence case is scheduled to start in September 2009. These delays impact on the dates scheduled for other trials and the cumulative effect of that impact is that the hearing of evidence in some of the trials that are scheduled to start in the second half of 2009, such as Gatete, Ngirabatware and Nzabonimana, is expected to spill over into 2010.

55. On 12 May 2009, the Appeals Chamber vacated the date for the commencement of the Ngirabatware trial initially scheduled for 11 May 2009, and ordered the Trial Chamber to determine and fix a date that would allow the accused person sufficient time to prepare for his defence. Subsequently, the Trial Chamber fixed a new trial date of 3 August 2009. It later changed the date to 23 September 2009, when the accused argued that he needed more time to prepare for trial. At the time of writing of this report, the accused had sought certification to appeal the Trial Chamber's decision refusing to vacate the trial date of 23 September 2009. The defence insists that the start date should be either the end of 2009 or January 2010 if he is to have sufficient time to prepare for his trial.

56. The Office of the Prosecutor therefore anticipates that the hearing of evidence in one multi-accused trial of Karemera et al. (three accused) and three single accused trials (Nzabonimana, Gatete and Ngirabatware) may spill over into 2010. The Office of the Prosecutor also expects to file at least nine applications, in respect of indicted fugitives at large, under rule 11 bis requesting Trial Chamber orders for the referral of those cases to Rwanda and other national jurisdictions that are willing and adequately prepared to accept the referral of such cases for trial.

57. As noted above, of the 13 fugitives still at large, the Prosecutor intends to transfer 9 to national jurisdictions for trial. The Office of the Prosecutor has therefore intensified the programme for the tracking and apprehension of the remaining 4 fugitives who have been prioritized for trial at the Tribunal. They are among the most notorious perpetrators of the genocide. The Tribunal will therefore try any of the prioritized four fugitives (Felicien Kabuga, Protais Mpiranya, Augustin Bizimana and Idelphonse Nizeyimana) should they be arrested before the end of its mandate. In the event of arrest, the Prosecutor will have to prepare the trials in Arusha and additional resource requirements would be addressed in the context of revised estimates as and when the need arises. It is important to reiterate, in view of the completion strategy, the importance of arresting Kabuga and transferring him to the Tribunal as soon as possible in order to determine his guilt or innocence.

58. The conclusion of the Military I trial in December 2008 has resulted in three appeals which will form part of the workload of the Appeals and Legal Advisory

Division of the Office of the Prosecutor in the biennium 2010-2011. Judgements in the now concluded Government II trial, involving four accused persons, the Butare trial involving six persons and the Military II trial involving four accused persons, the ongoing trial of Karemera (involving three accused) and two others, are expected during the biennium 2010-2011. Together with judgements in single accused trials, these judgements are expected to spawn approximately 56 appeals during the next biennium. The Tribunal's experience is that whenever there is a conviction, each convicted accused person appeals. On many occasions, the Prosecutor has filed counter appeals. The Office of the Prosecutor expects that the trend by those convicted of applying for the review of completed proceedings will continue and increase. The Office of the Prosecutor expects about 23 such reviews in the biennium 2010-2011. The workload of the Appeals and Legal Advisory Division is therefore expected to increase dramatically during the biennium 2010-2011.

59. The number of cases actually transferred to national jurisdictions will depend on decisions of the Chambers' referral bench, which will decide whether those cases meet the conditions required for their transfer. The Office of the Prosecutor will continue to provide the resources required to support requests for the transfer of cases, which may include addressing the legal issues that may be raised during eventual appeals proceedings. Transitional issues relating to this and other matters require the Prosecutor to devote substantial effort, both legal and administrative, in supporting prosecutions by providing all required assistance to domestic institutions when cases and investigation dossiers have been successfully transferred. The Office of the Prosecutor anticipates an increase in the activities in the next biennium for handling transitional issues as well as archiving and legacy matters. There is an increase in requests from foreign authorities for cooperation in their fight against impunity specifically targeting suspects of the Rwandan genocide of 1994 who have not been indicted and/or prosecuted by the Tribunal. Recent developments in this area require closer liaison and cooperation between the Office of the Prosecutor and Governments and other stakeholders.

60. The way in which the defence complies with rules on disclosure of the details of their witnesses burdens the prosecution with additional trial support investigation work. That work involves the checking of the antecedents of defence witnesses and finding evidence that can be used to disprove alibi defences. Antecedents are a critical tool used by trial lawyers to cross-examine defence witnesses and discredit their evidence. In calling hundreds of witnesses, the defence creates a need for a high number of missions by trial lawyers and investigators. This phenomenon contributes to the significant travel budget of the Office of the Prosecutor.

61. Many victim-witnesses of the Rwandan genocide are sickly, having been either infected with deadly diseases or subjected to severe physical trauma during and subsequent to the genocide. Many crucial prosecution witnesses are dying or have been lost. Unless those remaining are provided with medical and psychological assistance, many of them will be lost, leaving the Prosecutor without the means to prove some of his cases.

62. In November 2008, the Prosecutor participated in another Colloquium for Prosecutors of International Criminal Tribunals to share problems, solutions and strategies and to exchange best practices in the prosecution of criminals at the international criminal justice level. The main benefit of these colloquiums is that

ideas are shared about simplifying procedures and using better ways of doing international prosecutions: a contribution to the completion strategy. A follow-up and perhaps final colloquium will be held in Rwanda towards the end of 2009, using extrabudgetary resources.

63. In order to keep up with the pace and schedule of the Chambers and fulfil the goals of the completion strategy, it is crucial that the Office of the Prosecutor maintain adequate resources in the Prosecution Division, the Investigations Section, the Appeals and Legal Advisory Division and the Information and Evidence Support Section.

64. In the light of the above-mentioned developments, the Office of the Prosecutor will undergo a phased restructuring and realignment of resources with a view to focusing its efforts to complete all spillover trials by the first half of 2010 and to accelerate the appeals work. In accordance with the updated completion strategy, the main goal that the Prosecutor aims to achieve by the end of the Tribunal's mandate is to complete, by the end of 2010, all the trial-related workload. It is also to complete, by the end of 2011, the prosecution of all remaining appeals and reviews.

65. The main pillars of the Prosecutor's completion strategy in relation to accused persons are as follows:

1. Transfer of accused persons to national jurisdictions

66. The plan of the Prosecutor to obtain orders for the referral of the cases of five accused persons to Rwanda during 2008 and 2009 failed because the Trial Chambers and the Appeals Chamber found that, for a number of reasons, the accused would not receive fair trials in Rwanda. Since those decisions, the Government of Rwanda has embarked on a number of law reform projects aimed at removing the factors that led the Trial Chambers to refuse the referral of cases to Rwanda. The Office of the Prosecutor is working closely with the Government of Rwanda and plans to file applications for orders for the referral of at least nine cases of fugitives to Rwanda as soon as the law reform process is completed. Should the remaining four top-priority fugitives remain at large until the conclusion of the mandate of the Tribunal, their cases will be passed on to the residual mechanism that will be established after the closure of the Tribunal.

67. Experience with the five applications for referral to Rwanda that are referred to above has revealed the legal complexities involved in such applications. Decisions in such applications invariably go on to appeal. For this reason, the Office of the Prosecutor is required to retain capacity to deal with transitional issues envisaged in the transfer of cases to national jurisdictions.

68. The Office of the Prosecutor has set up monitoring mechanisms that will follow the progress of trials that are transferred to Rwanda and to European countries. In respect of cases that will be transferred to national jurisdictions in Africa, including Rwanda, the Office of the Prosecutor has obtained the concurrence of the African Union to make available some of their people as consultants for the monitoring of the trials of cases that will be referred to African national jurisdictions. For cases transferred elsewhere, the Prosecutor will negotiate with organizations with a presence with a view to obtaining monitoring assistance.

2. Tracking of fugitives

69. Thirteen indicted persons are still at large. This number includes four of the six top-priority fugitives earmarked for trial at the Tribunal. The strategy of the Prosecutor is to intensify the tracking of fugitives and especially the four priority fugitives and to arrest all or as many fugitives as possible before the end of the next biennium. The Prosecutor will continue to intensify pressure on some Member States to cooperate in the tracking and arrest of any of the fugitives suspected to be hiding on their territories. However, it remains of critical importance that the Tracking Team be provided with the necessary means, including equipment, for tracking the fugitives.

3. Trial strategy

70. The trial strategy of the Office of the Prosecutor is as follows:

(a) Make all trials less cumbersome by pruning indictments of unnecessary and superfluous charges. The aim is to have few charges in an indictment. This will enable the Office of the Prosecutor to call fewer witnesses to prove the crimes charged, use less time and spend less resources. In this regard, the Office of the Prosecutor will continue to employ the process of indictment review through its Indictment Review Committee, consisting of senior trial attorneys, the senior appeals counsels, legal advisers and other staff. The committee reviews and streamlines indictments in line with current jurisprudence and also with the view to implementing the above-mentioned strategy. The process of indictment review involves investigative work, in terms of which investigators are required to look for evidence that would assist in discarding unnecessary evidence;

(b) Put every case that is about to start trial through a trial-readiness review process. This process is also conducted by senior trial lawyers, together with other staff of the Office of the Prosecutor. It was initiated to avoid or minimize trial delays experienced in the past. The aim is to ensure that the case is truly ready when the trial date arrives and there are no avoidable impediments which may contribute to postponement or delay. This process often involves further investigation work in preparation for the start of the trial. The Trial Readiness Review Committee may advise the trial team to dispense with a number of witnesses if another witness that sufficiently covers a particular point can be found. This creates further investigative work which, if successful, makes the case stronger and the trial run more quickly;

(c) Distribute all cases among all available senior trial attorneys in the Office of the Prosecutor in order to ensure that they are properly and sufficiently prepared and made trial-ready. The senior trial attorneys have been given various deadlines by which their cases should be trial-ready so that, as soon as a Trial Chamber is free, there will be cases from which to select and proceed with trials. This will save time and enhance the chances of an effective implementation of the completion of the mandate. Trial preparation, by nature, involves considerable preparatory work, missions, etc. The Prosecutor therefore needs to reserve sufficient capacity in the Investigations Section to assist in trial preparation;

(d) The preparation of cases for trial and their presentation before the Trial Chambers presupposes that senior trial attorneys are provided with sufficiently "resourced" trial teams. For the preparation and presentation of a single-accused case, the Office of the Prosecutor requires a trial team consisting of at least 1 Senior

Trial Attorney (P-5), 1 Trial Attorney (P-4), 1 Assistant Trial Attorney (P-3), 1 Case Manager (P-2) and a shared Secretary at the General Service (Other level). For a multi-accused case, the number of team members is greater, depending on the size of the case.

4. Appeals

71. The appeals strategy of the Office of the Prosecutor supposes a huge increase in the number of appeals and reviews during the next biennium. The Office is currently working on 10 actual appeals which are expected to continue in the biennium 2010-2011 and expects to be dealing with a further 62 potential appeals during the biennium. Those appeals are expected to arise from judgements that will be delivered in 18 trials from June 2009 onwards. The estimate is based on the experience that the defence will always file an appeal in cases of a conviction. Exceptions have existed only in cases of plea agreements, which, in these cases, are now out of the question. The Office of the Prosecutor also anticipates that it will have to deal with about 27 interlocutory appeals arising from trials that are expected to spill over into 2010. In order to meet this workload, work on appeals and avoid loss of time through applications for extension of time, the strategy of the Office of the Prosecutor requires trial teams to do a structured handover of the case file immediately after the closing brief to the appeals team that will be handling the appeals in the case. The appeals team must then study the trial record and identify issues that may arise on appeal and work out how they can be handled. By the time the judgement is delivered, the appeals team, which will be fully conversant with the trial record, will study the judgement and be able to quickly identify appeal issues and to deal without delay with appeals filed by the defence. The aim of the strategy is to speed up the appeal process, at least from the side of the Office of the Prosecutor. The staff complement in the Appeals and Legal Advisory Division is divided into three main teams, each handling a number of appeals, potential appeals and interlocutory appeals. As part of its strategy, the Office of the Prosecutor envisages holding an appellate advocacy training workshop during the biennium to provide continuing training to members of appeals teams in the practice of appellate advocacy.

72. The Prosecutor also envisages strategic management devices to ensure that the completion strategy comes to a successful conclusion. Some of these management devices are set out below.

(a) Exploitation of information and technology resources

73. The strategy of the Office of the Prosecutor sees information technology as the backbone of the work of that Office, in that judicial research, communication, judicial filings, judgements and records of proceedings are done electronically. The Prosecutor's strategy therefore envisages an Information and Evidence Section that continues to be adequately responsive to the needs of the trial and appeals teams. The strategy of the Office of the Prosecutor continues to improve not only the management of information but also the cataloguing and retrieval systems in the Information and Evidence Section. It is also running an Electronic Disclosure System which helps trial teams to comply with the strict disclosure rules of the Tribunal. In that regard, the Section also assists in the disclosure searches, and provides training to lawyers and other support staff to enhance their ability to comply with disclosure rules.

(b) Capacity enhancement through continuous learning and best practices

74. The provision of human resources alone will not lead to a successful implementation of the completion strategy. As the jurisprudence of the two ad hoc Tribunals grows, and as new complexities emerge every day, it is necessary to enhance the capacity of lawyers of the Office of the Prosecutor, investigators and support staff through training. The strategy of the Office of the Prosecutor is to hold regular advocacy training and appellate training workshops throughout the biennium. Secondly, the Office of the Prosecutor will continue to hold monthly staff legal forums at which the jurisprudence and its application to the work of the Office of the Prosecutor are discussed.

(c) Contingency plans

75. In terms of the strategy of the Office of the Prosecutor, a situation should be avoided in which an indicted person escapes justice because neither the Tribunal nor a national jurisdiction can prosecute him or her. This can arise if the fugitive is not arrested until the closure of the Tribunal and if there is no order transferring his or her case to a national jurisdiction. Although the Prosecutor plans to transfer some of the cases of indicted accused persons to national jurisdictions for trial, there is no guarantee that this will happen or that this will happen in all cases. In view of the fact that rule 11 bis requires the permission of the Trial Chambers, there is a possibility that some of the motions of the Prosecutor for the transfer of accused persons to national jurisdictions may be rejected by the Trial Chambers or the Appeals Chamber. If the Prosecutor is not able to prosecute such detainees, they will surely escape justice on a technicality. Justice would demand that they be prosecuted for the crimes they are alleged to have committed. This can be handled by the residual mechanism after the closure of the Tribunal.

Table 5
Objectives for the biennium, expected accomplishments and indicators of achievement

Objective of the Tribunal: To meet the requirements of the Security Council with regard to the investigation and prosecution of persons who bear the highest responsibility for the violation of international humanitarian law in a fair manner and within a time frame that facilitates the implementation of the completion strategy.

Expected accomplishments	*Indicators of achievement*
(a) Arrest of accused persons still at large	(a) Number of arrests
	Performance measures
	2006-2007: 6
	2008-2009 estimate: 6
	2010-2011 target: 4
(b) Accelerated disposition of cases	(b) (i) Number of trials under preparation
	Performance measures
	2006-2007: 11
	2008-2009 estimate: 5
	2010-2011 target: 2
	(ii) Number of accused at trial
	Performance measures
	2006-2007: 23
	2008-2009 estimate: 23
	2010-2011 target: 2
	(iii) Total number of prosecution witnesses
	Performance measures
	2006-2007: 167
	2008-2009 estimate: 120
	2010-2011 target: 40

Expected accomplishments	*Indicators of achievement*
	(iv) Total number of cases concluded (before judgement)
	Performance measures
	2006-2007: 9
	2008-2009 estimate: 9
	2010-2011 target: 2
(c) Successful prosecution of accused persons	(c) Number of convictions (when judgements delivered)
	Performance measures
	2006-2007: 5
	2008-2009 estimate: 23
	2010-2011 target: 16
(d) Facilitation of appeals to successful conclusion	(d) Number of appeals concluded
	Performance measures
	2006-2007: 3
	2008-2009 estimate: 5
	2010-2011 target: 7
(e) Transfer of dossiers to national jurisdictions	(e) Number of dossiers transferred out of the Office of the Prosecutor
	Performance measures
	2006-2007: 10
	2008-2009 estimate: 17
	2010-2011 target: 5
(f) Transfer of cases to national jurisdictions using rule 11 bis	(f) Number of cases transferred out of the Office of the Prosecutor
	Performance measures
	2006-2007: 5
	2008-2009 estimate: 12
	2010-2011 target: 9

External factors

76. The Office is expected to meet its objectives and expected accomplishments on the assumption that:

(a) Witnesses are available;

(b) The security and safety of witnesses are ensured in cooperation with national Governments;

(c) Member States, non-governmental organizations and the international community remain supportive of the overall mission and vision of the Tribunal and cooperate in the arrest of indicted persons;

(d) More Member States accept the referral of cases to their jurisdictions for trial;

(e) Trials are not handicapped by the serious illness of accused persons;

(f) Member States cooperate in the relocation and protection of witnesses.

Outputs

77. During the biennium 2010-2011, the following outputs will be delivered:

(a) The completion, by the end of 2010, of the trials of all accused persons who are meant for trial at the International Criminal Tribunal for Rwanda and are currently detained at the United Nations Detention Facility;

(b) The transfer of the cases of all nine fugitives who are earmarked for transfer to national jurisdictions;

(c) The tracking and arrest of the 13 remaining fugitives, including: the tracking and arrest of the remaining 4 high-priority indicted fugitives, namely, Felicien Kabuga, Protais Mpiranya, Augustin Bizimana and Idelphonse Nizeyimana;

(d) The successful defence of all convictions and sentences that are challenged on appeal during the biennium;

(e) Investigation: witness and expert witness statements, summaries of witness interviews, witness schedules and protective measures for witnesses, intelligence related to suspects and fugitives, the collection of evidence relevant to trial support and trial preparation, reports on the arrest of fugitives, trials and appeals and requests for assistance; witness binders; unofficial translations and English summaries of documentation in the local language and indictment reviews;

(f) Prosecution: exhibits, witness summaries, extensive searches for relevant material to be disclosed to the defence, training courses, including legal issues, advocacy and legal opinions on issues of international law; filings related to the prosecution of cases and appeals, including indictments and amended indictments; motions, responses to defence motions, witness statements, opening briefs, closing briefs, sentencing briefs, appeals on the merits, interlocutory appeals, plea agreements, miscellaneous applications for subpoenas, search warrants, the detention of suspects and the transmission of arrest warrants;

(g) Management: policy papers and directives, guidelines related to legal practice, annual reports, funding proposals and budget preparation; reports on

activities of States relevant to cooperation; press releases, speeches, statements and briefings; and training of staff of the Office of the Prosecutor.

Table 6
Resource requirements — Office of the Prosecutor

	Resources (thousands of United States dollars)		*Posts*	
Category	*2008-2009*	*2010-2011 (before recosting)*	*2008-2009*	*2010-2011*
Assessed budget				
Post	50 990.8	38 725.7	142	119
Non-post	11 258.0	2 083.9	—	—
Staff assessment	7 030.0	4 761.5	—	—
Subtotal	**69 278.8**	**45 571.1**	**142**	**119**
Extrabudgetary	200.9	—	—	—
Total	**69 479.7**	**45 571.1**	**142**	**119**

Table 7
Post requirements — Office of the Prosecutor

		Proposed changes		
		Abolitions		
Category	*2008-2009 revised appropriation*	*January 2010*	*January 2011*	*Total 2010-2011*
Professional and above				
USG	1	—	—	1
D-2	1	—	—	1
D-1	2	—	(1)	1
P-5	13	—	(2)	11
P-4/3	75	—	(13)	62
P-2/1	17	—	(1)	16
Subtotal	**109**	**—**	**(17)**	**92**
General Service and other				
Other level	31	—	(6)	25
Local level	1	—	—	1
Field Service	1	—	—	1
Subtotal	**33**	**—**	**(6)**	**27**
Total	**142**	**—**	**(23)**	**119**

78. Resources under posts and staff assessment in the amount of $38,725,700 and $4,761,500, respectively, would provide for the continuation of 119 posts as reflected in table 6 above. The net decrease of $14,533,600 ($12,265,100 for posts

and $2,268,500 for staff assessment) is due to the abolition of 23 posts (1 D-1, 2 P-5, 6 P-4, 7 P-3, 1 P-2 and 6 General Service (Other level)), effective 1 January 2011, and the removal of the first-year provision of the 67 posts abolished as of 1 January 2009 during the biennium 2008-2009.

79. The total non-post resources requested in the amount of $2,083,900, reflecting a decrease of $9,174,100, would provide for fees and travel of consultants and expert witnesses, official travel of staff and operational expenses. The reduction is attributable to the one-time provision for general temporary assistance during the biennium 2008-2009, as well as reduced level of trial activities envisaged during the biennium 2010-2011.

C. The Registry

80. Pursuant to article 16 of the statute of the Tribunal, the Registry is responsible for the administration and servicing of the Tribunal. It is composed of three main organizational units, namely, the Immediate Office of the Registrar, the Judicial and Legal Services Division and the Division of Administrative Support Services. The resident auditor and investigators, while reporting directly to the Office of Internal Oversight Services, are reflected under the Registry for budgetary purposes.

81. During the biennium 2010-2011, the Registry will continue to support implementation of the Tribunal completion strategy geared towards the expeditious completion of trials of top-level accused and the transfer of middle and lower-level cases to competent national jurisdictions.

82. In pursuance of those objectives, the Registry, to ensure fairness by affording legal representation for indigent accused persons and humane treatment of detainees, will continue to render more and better qualitative services. The revamped lump sum system ensures that, in compliance with the completion strategy, adequate resources are afforded the accused person at the most critical stage of the criminal process.

83. The Immediate Office of the Registrar continues to provide consistent and effective judicial support services to the Chambers and the Office of the Prosecutor, undertaking continuous review of reforms already in place and carrying out a regular consultative process with the judges and the Prosecutor in this context. The Tribunal's activities reached a further peak during the current biennium, with an unprecedented number of trials run at the same time, which resulted in the completion of a greater number of cases. The support expected from the Registry to conclude additional agreements with Member States and other institutions have continued to increase. In addition to the first acquittal in 2001 and two in February 2004, there were two in 2006 and one in 2008.

84. As more acquittals are anticipated during 2009 and in the biennium 2010-2011, this will further compound the Tribunal's relocation efforts, which are now critical in the face of the lack of cooperation from Member States. The relocation of acquitted persons is one of the key elements of the completion strategy.

85. Cooperation and political support for the Tribunal by major stakeholders, such as Governments and non-State entities, has improved in other areas and systematic efforts to improve the image and visibility of the Tribunal through the effective dissemination of public information have borne fruit, with increased media

coverage, organized visits to the headquarters of the Tribunal for briefing and familiarization, and for better understanding of its achievements and multifaceted challenges. Cooperation between the Government of Rwanda, non-governmental organizations, the civil society organizations and the International Criminal Tribunal for Rwanda has been enhanced through: (a) the dispatch of more than 700 official notes verbales and correspondence to Member States, requesting their judicial assistance and cooperation in support of ongoing trials of the International Criminal Tribunal for Rwanda; (b) one more agreement on the enforcement of sentences signed between the United Nations and the Government of Rwanda; (c) more meetings held between the International Criminal Tribunal for Rwanda, the external stakeholders and the Government of Rwanda to address key issues concerning cooperation; (d) frequent visits to the International Criminal Tribunal for Rwanda by VIPs, Government officials and other stakeholders, including "Friends of ICTR", and their being duly briefed on the work of the Tribunal as part of its completion strategy; and (e) visitors being familiarized with the operations, resources and facilities of the International Criminal Tribunal for Rwanda.

86. It should be noted that more Member States are facilitating the travel and protection of witnesses who come to testify before the Tribunal, and they are also facilitating defence counsel investigations through identification of, access to and meeting with defence witnesses.

87. The External Relations and Strategic Planning Section in the Immediate Office of the Registrar also facilitated the hosting by the Prosecutor of a forum held in Arusha in November 2008 for selected national prosecution authorities, regional courts and representatives of important civil society stakeholders to discuss ways of enhancing cooperation. As part of the continuing consultative process, early in 2010, the Office of the Prosecutor will host the fifth Annual Colloquium for Prosecutors of International Criminal Tribunals which will focus on the challenges of completion and the proper closure of the ad hoc tribunals.

88. The Judicial and Legal Services Division will: (a) provide direct judicial assistance to the trial Chambers and the appeals Chambers, such as legal research, drafting and other judicial support, preparation of the judicial calendar, maintenance and scheduling of courtrooms, and the recording, maintenance and registration of records of judicial proceedings, transcripts, motions, orders, decisions, judgements and sentences; (b) be responsible for the provision and maintenance of the detention facilities, the development and maintenance of a list of defence counsels, the establishment and maintenance of a system to remunerate defence counsel, interpretation and translation services, assistance to prosecution and defence witnesses testifying before the Tribunal, and legal library services.

89. With regard to outreach and capacity-building efforts, the Tribunal has continued its work to improve awareness of its work and achievements through its outreach programme. In cooperation with the Government of Rwanda and the financial support of the European Commission, the Tribunal has established 10 similar information and documentation centres across the country to improve public access to documents and other information about its work, challenges and accomplishments. Most of the new centres are housed in justice complexes to facilitate access by Rwandan judicial and legal staff to the jurisprudence of the Tribunal and to technology, which enable them to perform legal research online. The centres will work closely with local authorities and communities by facilitating their

access to legal information resources. Along with mass media, the centres will be used by the Tribunal and the Rwandan judicial system to coordinate genocide prevention education and research, and to give a complete and coherent picture of justice that is being pursued at all levels. The Tribunal's first three provincial documentation and information centres, located in Nyamagabe, Muhanga and Gasabo Districts, have already been inaugurated.

90. The Division of Administrative Support Services continues to provide consistent and effective administrative support services to the Chambers, the Office of the Prosecutor and other components of the Registry. The Division also continued the implementation of streamlining measures aimed at improving and sustaining the level of administrative support services required by the Tribunal through the enhancement and extensive use of existing systems and applications designed to reduce organizational costs for operational efficiency and effectiveness and in support of the completion strategy. During the biennium 2008-2009, the Division has launched various initiatives and staff development programmes, with a view to enhancing staff skills, supporting staff retention and improving productivity. The Division continues to implement career support programmes in order to assist staff to cope with the anxieties brought about by the proximity of the completion strategy. The Tribunal, with the support of the United Nations Secretariat, initiated a number of non-monetary measures aimed at retaining staff until the milestone of the Tribunal is achieved and their services are no longer required.

Table 8

Objectives for the biennium, expected accomplishments and indicators of achievement

Objective of the Tribunal: To ensure appropriate and successful implementation of the Tribunal's legal and administrative support activities in compliance with the regulations and rules of the United Nations and with a view to supporting the Tribunal's completion strategy.

Expected accomplishments	*Indicators of achievement*
(a) Strengthened cooperation of Member States on enforcement of sentence matters	(a) Number of new memorandums of understanding concluded with Member States *Performance measures* 2006-2007: 0 2008-2009 estimate: 2 2010-2011 target: 1
(b) Increased public awareness of the work of the Tribunal	(b) Number of enquiries with respect to the work of the Tribunal *Performance measures* 2006-2007: 4,430 enquiries 2008-2009 estimate: 6,000 enquiries 2010-2011 target: 8,000 enquiries

(c) Faster turnaround time for decisions and orders after the conclusion of pleadings	(c) Maximum deadlines of five days for decisions/orders after initial deliberations of the first draft decisions/orders *Performance measures* 2006-2007: 5 days 2008-2009 estimate: 5 days 2010-2011 target: 5 days
(d) Reform of the legal aid system	(d) Reduction in the number of cases for which payments are in excess of agreed-upon thresholds *Performance measures* 2006-2007: 529 claims 2008-2009 estimate: 518 claims 2010-2011 target: 18 claims

External factors

91. The Registry is expected to meet its objectives and expected accomplishments on the assumption that:

(a) Member States continue to cooperate in the arrest and transfer of indicted persons and in the provision of information;

(b) There are no delays in the proceedings for reasons beyond the control of the Tribunal, including illness of the accused or death of lead defence counsel, unforeseen disclosure of material, requests for replacement of defence counsel, review of cases already tried and the availability of witnesses to certify statements and provide testimony.

Outputs

92. During the biennium 2010-2011, the following outputs will be delivered:

(a) Provision of policy guidance and executive direction for the coordination and implementation of a sound and realistic completion strategy;

(b) Provision of consistently effective judicial support services to the Chambers and the Office of the Prosecutor, undertaking continuous review of reforms already in place and carrying out a regular consultative process with the judges and the Prosecutor in this context;

(c) Implementation of strategies for the transfer of International Criminal Tribunal for Rwanda cases to States for trial, based on decision of the Chambers under rule 11 bis of the Rules of Procedure and Evidence;

(d) Resolution, in cooperation with the Office of Legal Affairs at Headquarters, of legal and practical problems with regard to the enforcement of

sentences, the relocation of acquitted persons or the relocation of convicted persons who have served their sentence at the United Nations Detention Facility;

(e) Supervision of the practical enforcement of sentences in countries that have signed agreements with the United Nations for that purpose;

(f) Optimization of the International Criminal Tribunal for Rwanda legal aid system by extending and further streamlining the lump sum system of payment, while monitoring expenditures to prevent any abuses of the system;

(g) Sustenance and improvement of the level of cooperation and political and operational support for the Tribunal by external counterparts, such as Governments and non-State entities;

(h) Formulation and implementation of an effective strategy for mobilizing resources for the Tribunal's Voluntary Trust Fund for important projects that are key to the discharge of the Tribunal's mandate and the success of the transfer of cases to States, including Rwanda;

(i) Continuation of systematic efforts to improve the image and visibility of the Tribunal through the effective dissemination of public information and the accurate projection of its work at appropriate levels, as well as the conduct of appropriate programmes for visitors to the Tribunal, who are frequently high-level individuals and institutions;

(j) Provision of direct judicial assistance to the trial Chambers and the appeals Chambers, such as legal research, drafting and other judicial support; preparation of the judicial calendar, maintenance and scheduling of courtrooms; and the recording, maintenance and registration of records of judicial proceedings, transcripts, motions, orders, decisions, judgements and sentences; provision and maintenance of the detention facilities; development and maintenance of a system to remunerate defence counsel; and assistance to prosecution and defence witnesses testifying before the Tribunal;

(k) Provision of administrative services for all activities of the Tribunal in the areas of human resource management; budget and finance; general services, building management and transport; information technology; security and safety; procurement; health services; and continuation of the provision of support to the services of the United Nations Detention Facility.

Table 9
Resource requirements — Registry

Category	Resources (thousands of United States dollars) 2008-2009	Resources (thousands of United States dollars) 2010-2011 (before recosting)	Posts 2008-2009	Posts 2010-2011
Assessed budget				
Post	123 168.1	97 269.9	551	509
Non-post	76 974.0	53 356.5	—	—
Staff assessment	15 751.5	12 705.7	—	—
Subtotal	**215 893.6**	**163 332.1**	**551**	**509**
Extrabudgetary	1 945.1	2 063.3	—	—
Total	**217 838.7**	**165 395.4**	**551**	**509**

Table 10
Post requirements — Registry

Category	2008-2009 revised appropriation	Proposed changes: Abolitions January 2010	Proposed changes: Abolitions January 2011	Total 2010-2011
Professional and above				
ASG	1	—	—	1
D-1	2	—	—	2
P-5	11	—	—	11
P-4/3	120	—	(1)	119
P-2/1	37	—	(4)	33
Subtotal	**171**	**—**	**(5)**	**166**
General Service and other				
Principal level	6	—	—	6
Other level	104	—	(15)	89
Security Service	50	—	(2)	48
Local level	200	—	(15)	185
Field Service	20	—	(5)	15
Subtotal	**380**	**—**	**(37)**	**343**
Total	**551**	**—**	**(42)**	**509**

93. The amount of $97,269,900 provides for the continuation of 509 temporary posts. The decrease under post resources ($25,898,200) and staff assessment ($3,045,800) is attributable to the abolition of a total of 42 posts (1 P-4, 4 P-2, 15 General Service (Other level), 2 Security Service, 5 Field Service and 15 local level) effective 1 January 2011, and the removal of the first-year provision of the

272 posts abolished as of 1 January 2009 during the biennium 2008-2009. The changes to the overall staffing complement of the Registry are summarized in table 10 above.

94. Furthermore, based on the latest trial schedule and in order to sustain the level of support required by the Chambers and the Office of the Prosecutor as the Tribunal moves towards the completion of trials, functions related to 93 positions (2 P-5, 3 P-4, 18 P-3, 33 P-2, 21 General Service (Other level) and 16 local level) provided through general temporary assistance in 2009 would continue to be required through 30 September 2010. In order to ensure the Registry the flexibility to accelerate or decelerate the phasing out of individual positions, it is proposed that their related funding continue to be provided through general temporary assistance. This would enable the maintenance of critical functions in supporting the trials through 30 September 2010.

95. The requirements of $53,356,500 under non-post resources would provide for other personnel-related costs, consultants and expert witnesses for the defence, travel of staff and witnesses, defence counsel fees and other contractual services, general operating expenses, hospitality, supplies and materials, replacement of office equipment, improvement of premises and the Tribunal's share of United Nations field security arrangements. The reduced requirement in the amount of $23,617,500 under non-post resources reflects the downsizing in the staffing complement of the Tribunal and the reduced trial activity envisaged during the biennium 2010-2011.

D. Records management and archives

96. In June 2007, the representatives of the International Criminal Tribunal for Rwanda and the International Tribunal for the former Yugoslavia, together with the Archives and Records Management Section, the Office of Central Support Services, and the Office of Legal Affairs at United Nations Headquarters, met in The Hague in order to develop and implement a common, comprehensive and coordinated strategy and project plan for archives and records management across the two Tribunals. The archiving strategy outlines, inter alia, the appropriate preservation of the work of the Tribunal and the development and implementation of access standards for records which are disclosable.

97. Taking into account the findings and outcome of that meeting, the International Criminal Tribunal for Rwanda developed a four-year project plan and identified the resource requirements needed for the biennium 2008-2009 to ensure that all documents of the Tribunal are preserved as a full and compliant record of the unique activities of the Tribunal, and are available for access to all stakeholders, including the residual mechanism and future users. In addition, in order to better support the archiving functions for the Tribunal, it was decided that all archiving-related functions from each organ of the Tribunal (i.e. Chambers, the Office of the Prosecutor and the Registry) would be consolidated into one centralized administrative unit responsible for overseeing the implementation of the archives strategy and day-to-day functions.

98. The resources required to implement the 2008-2009 activities designed to meet the project objectives were approved by the General Assembly in its resolution 62/229. The objectives of the Archives and Records Management project of the

Tribunal are outlined in the report of the Secretary-General (A/62/468), and are summarized as follows:

(a) To ensure that all documentary evidence and research materials of the Office of the Prosecutor are preserved for judicial, historical and research purposes;

(b) To ensure that the administrative records of all sections of the Registry are digitized and preserved in accordance with their respective retention schedules;

(c) To ensure that all judicial records of the International Criminal Tribunal for Rwanda are preserved and that all public records are accessible for research and educational purposes;

(d) To develop access, classification and retention policies for the substantive records of the International Criminal Tribunal for Rwanda, and to ensure preservation of the material designated for long-term or permanent retention.

99. Due to the complex and substantial nature of the work required to meet these objectives, the first six months of the current biennium were devoted to the preparation of activities developed within the framework of the archives and records management project, including consultations with external experts and strategic planning. The subsequent 12 months of the current biennium were devoted to acquiring required resources, including the recruitment of staff and recruitment of supplies, materials and services. The substantive work of the project was initiated during the second half of the biennium.

100. The resources provided in the current biennium enabled the Tribunal to implement activities and subprojects that ensure that records and archives are organized, stored, maintained and described in such a way as to facilitate the smooth transfer of the records to a permanent archival repository at the end of the Tribunal's mandate. All activities conducted within the framework of the project were founded on a consistent, standards-based approach, across the Tribunals and the United Nations Secretariat, in order to achieve a responsible completion of mandate and to establish a preservation and access regime which meets the needs of both legacy and residual requirements.

101. The subprojects which have been developed within the framework of the International Criminal Tribunal for Rwanda archiving project have been designed to address the specific nature and requirements of the four types of records generated and maintained by the Tribunal (Office of the Prosecutor evidence, administrative, judicial and substantive), as well as to improve and coordinate the archives and records management policies and procedures across the Tribunal. In addition, the joint Tribunals archival coordination strategy has continued, and activities have been conducted within the framework of the project to contribute to this valuable initiative.

102. In order to ensure that, by the end of the operations of the International Criminal Tribunal for Rwanda, the archives and records are prepared for their handover to the custodian authority, in compliance with established United Nations guidelines and best-practice archival principles, the Tribunal will continue to implement the activities which have been initiated in the current biennium through the delivery of the following outputs during the biennium 2010-2011:

(a) The retention schedule approved by the Archives and Records Management Section will be applied to all administrative records, and those designated for permanent retention will be transferred to the Archives and Records Management Section upon completion of the mandate of the International Criminal Tribunal for Rwanda;

(b) All evidential records will be sorted, classified and prepared for transfer to the permanent archival facility;

(c) The retention schedule and classification guidelines approved by the Archives and Records Management Section will be applied to all substantive records, and those designated for permanent retention will be prepared for transfer to the permanent archival facility;

(d) All paper-based judicial records of the International Criminal Tribunal for Rwanda will be stored according to archival best practices, and will be prepared for transfer to the permanent archival facility;

(e) All audio-visual recordings of the proceedings of the ICTR will be migrated to preservation-quality file-based carriers;

(f) All open session audio-visual recordings will be redacted and both preservation and access copies of the edited audio-visual material will have been generated;

(g) An access policy for the unclassified records of the International Criminal Tribunal for Rwanda will be developed, including investigations into the feasibility of third-party depositions and enhanced Internet connectivity.

Table 11
Resource requirements — records management and archives

	Resources (thousands of United States dollars)		*Posts*	
Category	*2008-2009*	*2010-2011 (before recosting)*	*2008-2009*	*2010-2011*
Assessed budget				
Non-post	8 991.4	6 626.3	—	—
Total	8 991.4	6 626.3	—	—

103. During the biennium 2010-2011, resources amounting to $6,626,300 are proposed for the redaction of all audio-visual materials and the archiving of the Office of the Prosecutor records. These requirements would provide for: (a) general temporary assistance related to temporary staff that would be required for the continuation of the audio-visual redaction project and the archiving of the Office of the Prosecutor records; (b) consultants who would be engaged to assist with the migration of data; (c) travel to complement teleconference communication between the representatives of both Tribunals and the Archives and Records Management Section for coordination of activities; (d) contractual services to cover costs associated with the digitization of audio-visual records of the Tribunal; and (e) the necessary supplies and equipment required in connection with this project.

104. Resources are required to upgrade the storage facilities, including environmental controls, shelving units, firefighting systems, to enhance the security of both the physical and electronic records, and to develop a truly off-site data backup system. In addition, storage systems are required for the materials that will be digitized within the framework of the archiving project. A compliant digital storage system is required to enhance the accessibility of the audio-visual digital files, to streamline the workflow management of the digitization projects, and ensure the long-term viability and security of the data. The system has been purchased with funds from the 2008-2009 archiving project budget and additional resources are required for the disk space to store the records that will be digitized throughout the biennium 2010-2011.

105. Resources are also required to engage the services of consultants to assist with content migration and electronic records accessibility, travel for coordination activities and consultations to ensure that all activities and technology are compliant with United Nations established practices, contractual services for the digitization of non-standard records and the transfer of archives, and the necessary supplies and material to continue the verification of the digital files against hard copy originals and archival re-housing activities initiated in the current biennium.

E. Liabilities for payment of pensions of retired judges

106. The permanent judges of the International Criminal Tribunal for Rwanda are eligible for retirement benefits, in accordance with the conditions of service and compensation governing the judges of the International Tribunal for the former Yugoslavia and the International Criminal Tribunal for Rwanda. At present, pension benefits payable to former judges are provided for in the biennial budget of the Tribunal. However, given its impending closure, the current practice would not be a viable option. Based on the results of the actuarial valuation for the pension scheme for judges at the Tribunal, the present value of the accrued pension liability of future benefits as at 31 December 2011 for the International Criminal Tribunal for Rwanda is estimated at $18,421,000 related to seven former judges and nine current judges.

107. In response to the request for financing of this liability in the context of the proposed budgets for the International Tribunal for the former Yugoslavia and the International Criminal Tribunal for Rwanda for the biennium 2008-2009, the General Assembly, in its resolutions 62/229 and 62/230, requested the Secretary-General to include in future reports information on specific parameters of the management of the funds to be appropriated to meet future requirements for pension benefits of the judges of the Tribunals and eligible beneficiaries. The Assembly also decided to revert to the issue of funding the pension-related benefits of the Tribunals at its sixty-fourth session.

108. Based on consultations carried out with investment officials in the United Nations Joint Staff Pension Fund, it has been decided that it would be prudent to adopt the investment policy of the Fund, details of which are provided below:

(a) The envisaged investment policy would reflect the strategic purpose of funding liabilities and would take into account the safety, profitability, convertibility and liquidity of investments;

(b) Safety would be achieved by ensuring adequate asset class, geographical, currency, sector and industry diversification, by carefully researching and documenting investment recommendations, and constantly reviewing the portfolio in order to take advantage of the unsynchronized economic cycles, market and currency movements. Asset classes are all subject to market risk and safety is a relative term in this regard;

(c) Profitability would require that each investment at the time of purchase be expected to earn a positive total return, taking into account potential risk, in particular market risk, which is common to all securities of the same general class and commonly can be mitigated but not eliminated by diversification;

(d) Convertibility is the ability to readily convert investments into liquid currencies. Convertibility facilitates payments in local currencies. The fiduciary responsibility to the participants mandates that, owing to the United States dollar-based market valuation of funds and the United States dollar-based appraisal of its actuarial soundness, all investments be readily and fully convertible into United States dollars;

(e) Liquidity is the ready marketability of the assets in recognized sound, stable and competitive exchanges or markets. Liquidity is required to ensure that the portfolio can be restructured in the shortest possible time in order to enhance total return and/or to minimize potential losses. It is noted that there may be attractive investment opportunities that require long-term commitments and that investments in longer-term asset classes, such as real estate, would require the concurrence of the representative of the Secretary-General;

(f) Funds would be managed by the Investment Management Service of the United Nations Joint Staff Pension Fund and follow the established practice of the United Nations University Endowment Fund in that funds will be managed by the Investment Management Service but would not be pooled with the proper United Nations Joint Staff Pension Fund fund.

109. With regard to the liabilities pertaining to after-service health insurance, it is recalled that the General Assembly, in its resolutions 62/229 and 62/230, endorsed the recommendations of the Advisory Committee on Administrative and Budgetary Questions contained in its report on the proposed budgets for the International Tribunal for the former Yugoslavia and the International Criminal Tribunal for Rwanda for the biennium 2008-2009 (A/62/578), among others, that the proposed funding for after-service health insurance of the Tribunals be taken up in the context of the overall review of the question of after-service health insurance. In this regard, based on a roll-forward actuarial valuation, a provision of $29.7 million, representing the present value of the accrued after-service health insurance liability of future benefits as at 31 December 2008 for the International Criminal Tribunal for Rwanda, has been included in the comprehensive report of the Secretary-General on liabilities and proposed funding for after-service health insurance benefits (A/64/366) which will be considered by the General Assembly at its current session.

Table 12
Resource requirements — liabilities: pension of judges

	Resources (thousands of United States dollars)		*Posts*	
Category	*2008-2009*	*2010-2011 (before recosting)*	*2008-2009*	*2010-2011*
Assessed budget				
Non-post	—	18 421.0	—	—
Total	—	18 421.0	—	—

110. The level of resource requirements for the financing of the accrued liability related to the pensions of retired judges and surviving spouses would amount to $18,421,000.

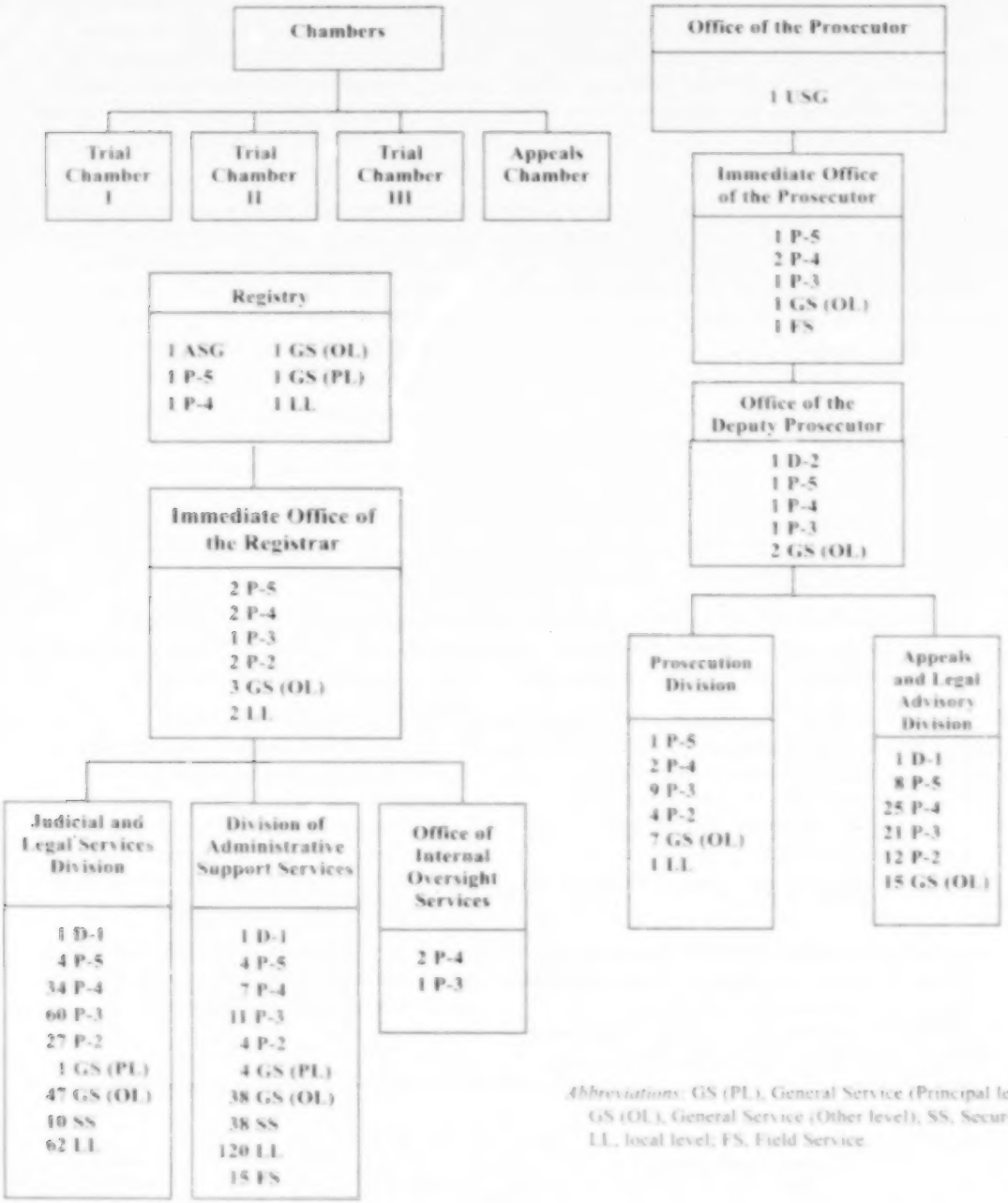
Table 13
Summary of follow-up action taken to implement relevant recommendations of the Advisory Committee on Administrative and Budgetary Questions and the Board of Auditors

Brief description of the recommendation	*Action taken or to be taken to implement the recommendation*
Board of Auditors (A/63/5/Add.11)	
The Board recommends that the International Criminal Tribunal for Rwanda reconsider the disclosure of the statement of cash flows to include its share in the cash pool (para. 31).	The current presentation of cash pools follow long-established practices that have been accepted by the successive Board of Auditor in all financial statements that have been certified.
The Board recommends that the Tribunal develop a financing plan in order to settle end-of-service liabilities relating to staff members at the time of the closure of its operations (para. 43).	A report on liabilities and proposed funding for after-service health insurance benefits (A/64/3 has been submitted for consideration by the General Assembly at its current session. Appropriate action will be taken on the basis of decisions made by the Assembly.
The Board recommends that the Tribunal define clearly the objectives of the Chambers and develop specific, measurable, attainable, realistic and time-bound output/performance indicators (para. 48).	The relevant information has been compiled and being analysed. The definition of objectives and the development of performance indicators is a work in progress and a report on both is under preparation. The purpose is to develop specific performance standards and optimize existing systems to provide analytical tools for the management of Chambers. The tools are to be introduced in 2009 and will help to assess courtroom space and implement standards for court proceedings.

Brief description of the recommendation	*Action taken or to be taken to implement the recommendation*
The Board recommends that the Tribunal ensure that all of its suppliers have complete records/information on file, as required by paragraphs 7.11.4 and 7.7.4 of the Procurement Manual, to guarantee that only qualified vendors are called upon to provide the required goods and services (para. 53).	The recommendation has been implemented for newly registered vendors. With regard to existing registered vendors, the review is ongoing whereby vendors are contacted in order to update or add required information. Vendors are suspended when responses are not received or the information provided is inadequate.
The Board reported that the Tribunal agreed with its recommendation that the Tribunal monitor compliance with the requirement for the preparation of performance evaluation reports in accordance with ST/AI/2002/3 (para. 67).	The recommendation has been implemented, and the process is ongoing, as performance evaluation reports are being prepared on regular basis, as required. The Tribunal developed an in-house monitoring and reporting mechanism to ensure that appraisal reports are completed in a timely manner.
The Board recommends that the Tribunal continue to formulate and implement more effective strategies to fill vacancies, such as regularly evaluating the performance of staff members initially recruited against general temporary assistance and placing them against authorized posts (para. 72).	The recommendation is implemented and the process is ongoing. Efforts are taken to improve vacancy rates and fill vacancies, including through the evaluation and consideration of general temporary assistance personnel who meet the requirements of advertised posts.
The Board recommends that the Tribunal, specifically the Registry and the Chambers, prepare performance reports on time (para. 84).	The Tribunal concurs with the Board's recommendation. The relevant information has been compiled and a report is under preparation.
The Board recommends that the Tribunal revisit its targets/objectives and its performance indicators, particularly for the office of the Prosecutor, to ensure that any risk/constraints that might hinder the accomplishment of objectives can be properly addressed (para. 87).	The Tribunal has taken into consideration the external factors that may hinder the achievement of the targeted accomplishments. It is reviewing the targets/objectives and its performance indicators to ensure that the targets for accomplishments are not too high, in view of the prevailing constraints.
The Board considers that the findings of the Office of Internal Oversight Services highlighted significant deficiencies in areas related to internal audit and underscores the need for the Tribunal to address them (para. 98).	Since the last update in June 2008, additional recommendations have been closed, and with regard to internal audit, only one is outstanding.

International Criminal Tribunal for Rwanda

Organizational structure and post distribution for the biennium 2010-2011



Abbreviations: GS (PL), General Service (Principal level); GS (OL), General Service (Other level); SS, Security Service; LL, local level; FS, Field Service.